



Personnel

GUIDE TO THE USAF OFFICER EVALUATION SYSTEM (OES)

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This guide provides general information about the OES. It is designed to help you provide and receive performance feedback, prepare an Officer Performance Report (OPR), and understand the promotion recommendation process.

This guide is not meant to be all-inclusive. It implements Air Force Policy Directive 36-24, *Military Evaluations*. You should also use Air Force Instruction (AFI) 36-2402, *Officer Evaluation System*. Please note that while the philosophy and intent of the OES pertains to Air National Guard (ANG) and US Air Force Reserve (USAFR) components, some modifications are necessary. Where other procedures are different for Guard and Reserve officers, guidance is provided. Do not supplement this pamphlet. Refer to attachment 1 for a Glossary of Terms.

SUMMARY OF REVISIONS

This publication replaces Air Force Pamphlet (AFP) 36-6, 1 August 1988. It incorporates the changes pertaining to performance feedback for field grade officers and changes in the promotion recommendation process.

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Chapter 1**INTRODUCTION**

1.1. Congratulations! It was great to see your name on the promotion list. This message is one to which we all look forward. Not only do we get excited about our promotion, we share others’ excitement when they get promoted. This is only natural--we share responsibility for their promotion. People are fundamental to the success of the Air Force mission. It’s the role of the supervisor to provide an atmosphere that fosters improved on-the-job performance and professional development, recognizes potential, and contributes to the promotion of those best qualified. The Air Force Officer Professional Development Program (OPD) fosters just such an atmosphere and has three main goals:

- To increase an officer’s qualifications and ability to perform his or her duties now and in the near term.
- To prepare officers for future leadership challenges.
- To ensure the people who are best qualified are advanced in grade and responsibility.

1.2. What Are the Elements of the OES? The OES is the keystone of the OPD program. The OES focuses on what is important to both the officer and the Air Force--PERFORMANCE. Simply stated, your performance and contributions to mission accomplishment drive your evaluation. The OES features three main elements--performance feedback, performance reporting, and promotion recommendations (figure 1.1). Each of the elements plays a unique and substantial role in the system.

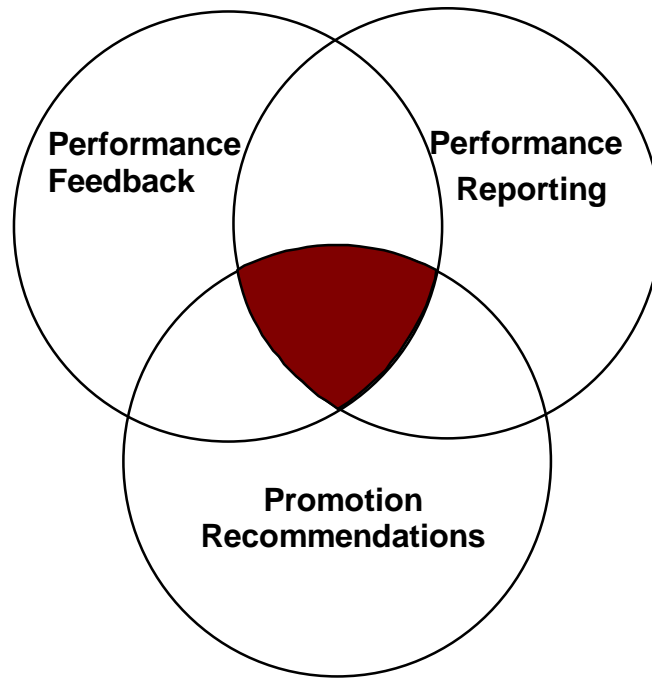
1.2.1. Performance Feedback. One of the most difficult tasks we face is to provide officers with meaningful feedback needed to develop professionally. The first element of the OES provides a supplement to the day-to-day casual, or informal, performance feedback that is provided by the rater on an as-required basis. This element provides a formal vehicle, the AF Form 724A, **Field Grade Officer Performance Feedback Worksheet**, and AF Form 724B, **Company Grade Officer Performance Feedback Worksheet (PFW)**. The PFW and the session discussion are private communications between the rater and his or her subordinate. The purpose of the PFW and the feedback session is to tell the officer what is expected regarding duty performance and how well he or she is meeting those expectations. This will help the officer improve performance and to grow professionally. Any other use of the PFW is prohibited.

1.2.2. The Officer Performance Report (OPR). The second element of the OES is performance reporting. You report on performance via AF Forms 707A, **Field Grade Officer Performance Report**, and 707B, **Company Grade Officer Performance Report**. The OPR emphasizes performance by focusing on the officer’s contributions to the unit’s central business--its mission. The OPR is an assessment by those who know the officer best. It concentrates on the officer’s performance and judges potential based on that performance. Cumulative reports make up the record of that performance and are used in creating the promotion recommendation.

1.2.3. The Promotion Recommendation. The final element of the OES is the promotion recommendation process. Its purpose is to give the promotion board a basis for differentiation driven by performance. This message to the board is

communicated using AF Form 709, **Promotion Recommendation**, written by the senior rater, who has personal knowledge or direct access to personal knowledge of the officer's performance.

Figure 1.1. Officer Evaluation System.



1.3. How Should I Use This Guide? It provides information about the OES to assist in providing and receiving performance feedback and in preparing the OPR and PRF. This guide provides useful information on the three elements of the OES. Each chapter deals with a single element of the system and is designed to stand alone for ease of reference purposes.

1.4. How Is This Guide Organized?

1.4.1. Chapter 1, Introduction, introduces the OES and includes information on the organization and use of this guide.

1.4.2. Chapter 2, Performance Feedback Process, is divided into three major sections, "Understanding Feedback," "Preparing for the Session," and "Conducting the Feedback Session." It explains why feedback is important and presents a view of an effective feedback session. The AF Forms 724A and 724B are described. Do's and Don'ts are discussed to aid in preparing for, and maximizing, the effectiveness of the feedback process.

1.4.3. Chapter 3, Officer Performance Reporting, will help raters accomplish the difficult task of evaluating and reporting duty performance. In addition to a discussion of what may and may not be entered in each section of the form, some administrative mechanics are presented.

1.4.4. Chapter 4, Promotion Recommendation Process, explains the promotion recommendation process. The terms "performance-based potential" and "best qualified" are discussed, as they relate to the OES and officer promotions. A section-by-section analysis of the PRF is followed by a discussion of the allocation process, evaluation board procedures, and the central selection board process.

1.4.5. Chapter 5, Helpful Hints, provides a simple list of "Do's" and "Don'ts" concerning all aspects of the Officer Evaluation System.

1.4.6. Attachment 1, Glossary of Terms, gives definitions of common OES and promotion system terms used throughout this pamphlet.

Chapter 2

PERFORMANCE FEEDBACK PROCESS

2.1. Purpose. This chapter is divided into three parts: understanding feedback and how it is used to change and motivate behavior; preparing for the feedback session; and conducting the session. The first part of this chapter explains what feedback is and how it works. The second part deals with preparation for the actual feedback session. The third part provides information on interpersonal communication skills.

2.2. Understanding Feedback:

2.2.1. What Is Feedback? Quite simply, feedback is letting your people know what you expect, and how they're doing on the job. Experts agree that feedback is the single most important means for changing behavior. Typically, feedback lets a person know where he or she stands in relation to some goal or standard, and is most effective when delivered openly and honestly in a constructive attempt to improve performance. Feedback as a process can range from immediate "pats on the back" for a job well done to a more formal, planned session--the focus of this section.

2.2.2. How Does Feedback Work? It serves both as a source of information and motivation. As a source of information, feedback provides information about the outcomes of behavior. Given a specific goal, or standard, a person with feedback has a direction for improvement. Without feedback, the person has no way of knowing if his or her performance is adequate or what he or she needs to do to improve it. Feedback is far more effective if it is specific, delivered frequently, and presented in a timely fashion. In general, the more information a person has (that is, the more precise and frequent the feedback), the better able he or she will be to modify his or her behavior in accordance with expectations. Above all, feedback must be understood. As a source of motivation, people who know how they are doing try harder and persist longer at tasks than people who do not. In contrast, people who receive little or no feedback lack the information they need to evaluate their performance.

2.2.3. How Is Feedback Used To Improve Someone's Performance?

2.2.3.1. Explain The Job Requirements. Tell people what their duties and responsibilities are when they first report for duty. Ensure each of them understands the unit's mission. Describe their duties in terms of the unit's mission. If their duties or responsibilities change during their assignment to the unit, advise them of these changes as soon as possible.

2.2.3.2. Establish Performance Expectations. Tell how you will evaluate performance, what you will look for, and how you will measure performance. To give meaningful feedback, focus on duty performance and other dimensions, such as leadership, which contribute to an officer's outstanding performance.

2.2.3.3. Tell Your People If They Are Performing As Expected. Compliment your people on a job well done and offer constructive criticism on areas where improvement is needed. Provide open, honest appraisal of both strengths and weaknesses in daily performance. Behaviors that neither contribute to, nor detract from, mission accomplishment should not be considered in giving the feedback. Specific examples of behaviors that may not be appropriate include the following:

- Organizing or attending civic events.
- Being popular.
- Participating in sports or recreational activities.
- Participating in religious activities.

2.3. Preparing for the Session:

2.3.1. What Is The Feedback Session? This session is part of the formal feedback system that the Air Force has for its officers. A formal system means the rater is responsible for more than just giving the casual feedback that is part of his or her role as a supervisor, although casual feedback is absolutely essential and a fundamental part of the overall feedback program. A formal system requires a scheduled session between the rater and the ratee be documented on an AF Form 724A or AF Form 724B. The original AF Form 724A/B is given to the ratee and the rater maintains a copy at the end of the session. The purpose of the feedback session is to establish formal, private communication between officers and their raters about the officers' performance and the raters' expectations and standards. Feedback sessions are mandatory for lieutenants through colonels.

2.3.1.1. Ideally, an officer has two formal feedback sessions before a performance report is prepared. The initial session, for an officer newly assigned to a unit, is used primarily to communicate job requirements and expectations. If an officer has been in the unit and has just received a performance report, the next session should include a discussion of prior performance, as well as goals and expectations for the new rating period. In the follow-up session, the rater should again discuss areas of strengths and weaknesses, the progress made in previously identified areas, and the course of action the ratee should follow. The rater must prepare by determining the ratee's strong areas and potential areas of difficulty prior to

this mid-course feedback session. In the ResAF, the feedback sessions are held once annually, after the initial session. This annual session is held halfway through the OPR cycle for USAFR.

2.3.1.2. The feedback session emphasizes job performance and qualities expected of all officers, such as leadership, and organizational and communicative skills. This emphasis benefits both the individual and the Air Force. The individual knows exactly what is expected, where performance meets expectations, and where improvement is needed. The Air Force benefits because ratees perform better when raters communicate standards and define expectations. Subsequent determination of readiness for increased responsibilities and rank is based largely on how well the individual is handling current responsibilities and how those responsibilities contribute to mission accomplishment.

2.3.2. How Do I Prepare To Hold A Feedback Session? Identify job-specific behaviors. Performance feedback focuses on observable, job-specific behavior. The observer has to describe what is actually seen or heard. For example, the phrase "Lieutenant Smith has been late to work 3 times this week," describes a behavior. An observer can see whether someone is or is not at work on time. "Lieutenant Smith wants to sleep late," is an inference, rather than a behavioral description. An observer cannot "see" whether someone wants to sleep late. Defining performance in terms of observable behavior is important for the following reasons:

- To enhance the objectivity of the feedback.
- To keep feedback specific rather than general.
- To clarify what's being discussed.
- To increase the officer's ability to improve his or her performance.

2.3.2.1. Objectivity is enhanced when we do not assume that the behavior implies any particular feelings or attitudes of the person we observe. For example, we should not assume that a person is lazy when he or she doesn't come to work on time. There may be other reasons for the behavior. If we do a good job of describing the behavior, the officer should know exactly what he or she has to do to improve. The following examples illustrate the difference between attitudinal statements and behavioral statements. In each example, the attitude statement leaves the officer at a loss about what to do to improve. This type of statement creates defensiveness and hinders communication. The behavior statements, on the other hand, tell the officer exactly what was done that brought on the positive or negative feedback.

| ATTITUDE | BEHAVIOR |
|--|--|
| "You're lazy." | "You've been late for work 3 days this week." |
| "I like your attitude." | "Your action in teaching less experienced officers how to do things here is an asset to our unit." |
| "You don't care about our requirements." | "Your report on the Low Altitude program was late." |

2.3.2.2. Collect Information. Information on a ratee's job performance and achievements is available through a variety of sources. Primary sources include personal observation and input from ratees. Observation is best if it is done:

- Systematically. Raters need not follow a specific plan or outline, but it is helpful to routinely make notes on the ratees' performance and to collect examples of their work. Work examples, in particular, lend strong support to feedback and ratings.
- Repeatedly. Collect information over time and under a wide range of circumstances. The more performance samples are reviewed, the clearer the picture of the ratees' performance.
- Fairly. All ratees are strong in some areas and less strong in others. Making repeated observations, without bias or prejudice, reveals areas of strength as well as areas for potential growth.

2.3.2.3. Ratee Participation. Ratees may also provide information which supplements the rater's observations. This is not to suggest that the ratee prepare his or her own assessment. However, the ratee is in an excellent position to know how he or she contributed to the unit's mission. This sense of participation is key to understanding and accepting a rating as well as fundamental to sustaining high morale.

2.3.2.4. Recording The Observation. The observer should make a detailed note about a particular incident to fix it in his or her mind and to facilitate its recall for the person being observed. In doing so, observers need to note what happened, the ratee's behavior, and how the mission was affected. In other words, how did the person behave in a certain situation, and what was the result? If the incident has no impact on the unit's mission accomplishment, do not use it. If it did, the observer has an obligation to tell the person being observed. This obligation exists whether the behavior has a positive or negative impact on the unit and feedback should be given as soon as practical. One method that provides a useful recording structure for the observation is illustrated below:

| SITUATION | BEHAVIOR | OUTCOME |
|----------------|-------------------------------|---|
| What happened? | What behaviors did I observe? | Was the unit's mission affected by these behaviors? |

2.3.2.5. Notes taken using this approach are valuable for providing specific examples when completing the PFW. The following example illustrates the model's use in observing Capt Harris' behavior prior to an upcoming feedback session.

| SITUATION | BEHAVIOR | OUTCOME |
|---|---|---|
| Welder working--no eye protection (safety violation). | Capt Harris confronted welder with safety issue. Had welder don safety glasses. | Possible injury averted. Safety standards maintained. |

2.3.2.6. This example purposely presents a clear and easily understood application of the method. However, the method may be deceptive in its simplicity when used to analyze more complex situations. For example, a wing meeting its sortie goal is the result of many individuals performing well in a multitude of situations. Without the use of a method that provides a framework for observing behavior, documenting the specific contributions of any one person in meeting this goal could be a very difficult task, particularly if done in retrospect. The beneficial use of any observational method requires dedicated and continuous effort.

2.3.2.7. *Schedule The Session.* Select an appropriate time and place for the session to ensure there are no interruptions, and allow enough time for a two-way discussion. Notify the ratee of the date far enough in advance to allow sufficient time to prepare for the meeting.

2.3.2.8. *Complete AF Forms 724A or 724B (PFW).* Good preparation for a feedback session helps to ensure its success. In advance of the performance feedback session, review your notes on the ratee's performance. Gather relevant information for the discussion. Complete the PFW, providing specific examples and suggestions for improvement in definite areas. Remember, the examples and suggestions provided help clarify your ratee's next steps in improving performance.

2.3.3. *How Is The PFW Used?* As a planning tool, the PFW aids the rater in organizing thoughts and checking them for objectivity and relevance prior to the feedback session. It also serves as an agenda of the most important points to be covered in relating performance expectations and observations to the ratee during the feedback session. As a written summary, the PFW also serves as a reminder to the ratee of what performance is expected and how well he or she is meeting those expectations. It provides specific information the officer can use to improve job performance. It also provides a record of the discussion for the rater, which may be used for personal reference. The PFW must be viewed together with the feedback session as a process. A well-prepared PFW is a good start to a productive feedback session as an assessment tool; two key areas of performance are assessed. The first area is the individual officer's job-specific performance. The second area is the more general performance or officership, as defined by the six factors with supporting behaviors printed on the form. The Air Force considers these six skills important for all officers. The accurate, objective assessment of performance in these areas by the rater is a must for successful feedback. This is the point in the feedback process where the "rubber meets the road" in terms of the rater providing honest, evaluative feedback to his or her ratees. At this point, the rater is most susceptible to making errors which limit the feedback's value.

2.3.4. *What Are Sources Of Rater Errors?* Most raters can make fairly valid ratings of outstanding or very poor performance. Behaviors reflecting these extremes are more likely to be observed and correctly identified. However, when observing performance in the middle or average range, distinctions made among people tend to be less accurate and useful.

2.3.4.1. *Rating Performance As Outstanding When It Isn't.* For several reasons, the middle range is where most ratings should fall. One reason they do not is because a rater is reluctant to cause pain by giving lower ratings to average performers. If raters know their ratees will see the ratings, or they will have to present them with the ratings in a feedback session, they tend to be more lenient. This is human nature, but it does not lead to valid appraisals or feedback. There is also a problem in applying personal standards in judgment where "nice guy" raters give consistently high ratings while "tough guys" rate consistently low.

2.3.4.2. *General Impressions.* Another common source of rating error is the "halo effect," whereby people who are generally well liked receive favorable ratings on all categories. Bad chemistry between a ratee and rater can have the opposite effect and produce unfairly low ratings. In both cases, ratings end up based on general impressions of the ratee as a person rather than on specific aspects of performance.

2.3.4.3. *Limited Observations And Poor Recall.* Requiring ratings to be based solely on aspects of job performance presents the rater with an extremely difficult task. He or she must observe the behaviors, evaluate them in terms of their relevance for successful job performance, and accurately recall them for subsequent feedback sessions and formal

evaluations. Eye witnesses make mistakes recalling details of events that happened only a few hours before. Imagine how difficult it is for a rater to evaluate the work of many ratees over a period of 6 months or a year! Like witnesses at a busy intersection, raters often must base their judgments on only partial evidence. Rating errors that may occur as a result of limited observations or poor recall include the following:

- Raters attend specifically to behavior that confirms a stereotype they have developed and ignore or forget behavior that conflicts with it.
- Serious efforts to improve on past performance by ratees are overlooked.
- If raters cannot recall any specific information relevant to a category on a rating form, they subconsciously invent examples of “appropriate” behavior based on their personal assumptions or stereotypes.
- Raters judge ratees on their most recent experiences, rather than performance during the entire period (What have you done for me lately?).

2.3.5. How Are These Errors Avoided? The examples of rater error noted above can happen regardless of the type of rating form used. Raters may avoid these errors by learning and practicing skills which make them better observers: gathering and reporting supporting evidence; discriminating between relevant and irrelevant information; doing selective work sampling when direct observation is infrequent; and deciding which aspects of performance are really measurable. Only after the rater has observed the officer’s behavior, duty performance, and achievements is he or she in a position to complete the PFW. Obviously, obtaining as much meaningful information as possible about the officer’s performance, prior to this step, is to the rater’s advantage.

2.3.6. How Are AF Forms 724A and 724B Completed?

2.3.6.1. Prepare It Personally. To emphasize the importance of keeping the feedback session private, Air Force policy dictates that the PFW must be handwritten by the rater as illustrated in figures 2.1 thru 2.4. This policy prevents complications resulting from administrative personnel viewing the form while it is being typed, or having the information available in a data base. **NOTE:** The PFW and the session are private communications between the officer and the rater.

2.3.6.2. Complete Section II--Key Duties, Tasks, and Responsibilities. This section is the first area on the form after name, grade, and unit, and uses a fill-in-the-blank format that allows the rater to list an officer’s specific duties. This tailors the form to the individual. The duties listed in this section must be job specific. You cannot list additional duties assigned to or performed by the officer that do not directly contribute to the unit mission. The following are examples of acceptable and unacceptable entries.

UNACCEPTABLE

Combined Federal Campaign Project Officer
Company Grade Officer Council Member
Impoundment Official
Summary Court Officer

ACCEPTABLE

Instructor Pilot
Squadron Safety Officer
Flight Leader
Self-inspection Monitor

Figure 2.1. Sample AF Form 724A, Field Grade Officer Performance Feedback Worksheet (Front).

| FIELD GRADE OFFICER PERFORMANCE FEEDBACK WORKSHEET | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| I. PERSONAL INFORMATION | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NAME JENKINS, ARTHUR | GRADE Lt Col | UNIT 82 CES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| II. KEY DUTIES, TASKS, AND RESPONSIBILITIES | | IV. COMMENTS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Unit Commander Responsible for overseeing all civil engineering functions: construction, grounds/facility maintenance, fire fighting/prevention, and housing. Maintains morale & discipline. Enforces standards. Ensures integrity behavior consistent w/AF standards. | | Job KNOWLEDGE - Knowledge of commander's programs is outstanding-- your background in the Personnel arena is a real plus for unit - Very knowledgeable of civil engineering functions, responsibilities, capabilities -- Analysis of potential problems in building new hazmat facility was right on target -- creative solutions surpassed EPA requirements -- wglcc very impressed! LEADERSHIP SKILLS - You lead by example -- my hat's off to your involvement with the SNCO Single Airmen Dinner - Worked hard to create cohesive unit -- Comraderie at unit functions is vibrantly exhibited - Evaluations of some of your subordinates lean a little toward the inflated side. Push them to the excellence you credit them with; expect more and you'll get it PROFESSIONAL QUALITIES - Dedication, self-discipline and loyalty is noteworthy - Strict adherence to standards is applied to self and most unit members; however, I'm concerned over your tendency towards leniency when disciplining SNCOs. You must be stern and consistent across the board ORGANIZATIONAL SKILLS - Superb organization of high-interest construction/rehab projects -- Your plan to utilize various work crews in a "domino effect" kept 4 simultaneous facility projects on or ahead of schedule | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| 1. JOB KNOWLEDGE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Has knowledge required to perform duties effectively | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Strives to improve knowledge | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Applies knowledge to handle nonroutine situations | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. LEADERSHIP SKILLS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sets and enforces standards | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Motivates subordinates | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Works well with others | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Fosters teamwork | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Displays initiative | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Self-confident | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Has respect and confidence of subordinates | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Fair and consistent in evaluation of subordinates | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. PROFESSIONAL QUALITIES | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Exhibits loyalty, discipline, dedication, integrity, honesty, officership | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Adheres to Air Force standards | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Accepts personal responsibility | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Is fair and objective | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. ORGANIZATIONAL SKILLS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Plans, coordinates, schedules, and uses resources effectively | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Schedules work for self and others equitably and effectively | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Anticipates and solves problems | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Meets suspenses | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. JUDGEMENT AND DECISIONS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Makes timely and accurate decisions | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Emphasizes logic in decision making | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Retains composure in stressful situations | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Recognizes opportunities and acts to take advantage of them | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. COMMUNICATION SKILLS | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Listening | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Speaking | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Writing | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Figure 2.2. Sample AF Form 724A, Field Grade Officer Performance Feedback Worksheet (Reverse).

| | |
|---|-----------------|
| STRENGTHS, SUGGESTED GOALS, AND ADDITIONAL COMMENTS (OPD: OES, Assignments, PME, and so forth) | |
| <u>ORGANIZATIONAL SKILLS - cont.</u> | |
| <ul style="list-style-type: none"> - Kudos for your success implementing OES/EES and feedback training <ul style="list-style-type: none"> -- Planning expertise led to 100% of unit trained in just two weeks -- Quality of initial training and refresher training plans outstanding-- both your unit and the AF will benefit - You need to be more willing to delegate some of your work <ul style="list-style-type: none"> -- missed 3 short-notice suspenses last month-- your exec could easily have handled those issues | |
| <u>JUDGEMENT AND DECISIONS</u> | |
| <ul style="list-style-type: none"> - Calm and composed under pressure-- did a great job diffusing the volatile situation that arose between local youths and our airmen at the Air Show - Excellent judgement-- you instinctively know which battles to fight and when to back off <ul style="list-style-type: none"> -- assessment of the situation and decisions concerning methodology of best handling the Doe case proved positive-- best interests of both the member and the Air Force were served | |
| <u>COMMUNICATION SKILLS</u> | |
| <ul style="list-style-type: none"> - Your communication skills are commendable at all levels <ul style="list-style-type: none"> -- Unit members have no doubts about where you stand or what you expect -- AF Outstanding Unit Award pkg you wrote is the best I've seen in 20 years! | |
| <u>OVERALL ASSESSMENT/COMMENTS</u> | |
| <ul style="list-style-type: none"> - Leadership is your forte! You've managed to lift up the morale of the unit-- recent climate assessment survey shows dramatic improvement - Good ideas and intellect-- your enhancements to your unit's Family Member Care program greatly increased the unit's deployment readiness status - Minor adjustments needed in the areas noted - OPD-- Air War College would be a great opportunity for you. Then I'd like to see you in a Support Group Commander position at a large base-- with your background, you'd excel! | |
| RATER SIGNATURE | DATE |
| <i>Paula E Barnes</i> | <i>8 Mar 96</i> |

Figure 2.3. Sample AF Form 724B, Company Grade Officer Performance Feedback Worksheet (Front).

| COMPANY GRADE OFFICER PERFORMANCE FEEDBACK WORKSHEET | | |
|--|-------------------------------------|--------------------------------------|
| I. PERSONAL INFORMATION | | |
| NAME <u>James, Jessica</u> | GRADE <u>CAPT</u> | UNIT <u>71 FTS</u> |
| II. KEY DUTIES, TASKS, AND RESPONSIBILITIES <u>Instructor Pilot</u> <u>Simulator Console Instructor (T-37)</u> | | IV. COMMENTS |
| III. PERFORMANCE FEEDBACK | | |
| | needs significant improvement | needs little or no improvement |
| 1. JOB KNOWLEDGE | | |
| Has knowledge required to perform duties effectively | ←—————X————→ | |
| Strives to improve knowledge | ←—————X————→ | |
| 2. LEADERSHIP SKILLS | | |
| Sets and enforces standards | ←—————X————→ | |
| Works well with others | ←—————X————→ | |
| Fosters teamwork | ←—————X————→ | |
| Displays initiative | ←—————X————→ | |
| Self-confident | ←—————X————→ | |
| 3. PROFESSIONAL QUALITIES | | |
| Exhibits loyalty, discipline, dedication, integrity, honesty, and officership | ←—————X————→ | |
| Adheres to Air Force standards | ←—————X————→ | |
| Accepts personal responsibility | ←—————X————→ | |
| Is fair and objective | ←—————X————→ | |
| 4. ORGANIZATIONAL SKILLS | | |
| Demonstrates ability to plan | ←—————X————→ | |
| Coordinates actions | ←—————X————→ | |
| Schedules effectively | ←—————X————→ | |
| Uses resources effectively and efficiently | ←—————X————→ | |
| Meets suspenses | ←—————X————→ | |
| 5. JUDGEMENT AND DECISIONS | | |
| Makes timely and accurate decisions | ←—————X————→ | |
| Emphasizes logic in decision making | ←—————X————→ | |
| Retains composure in stressful situations | ←—————X————→ | |
| Recognizes opportunities | ←—————X————→ | |
| Requires minimal supervision | ←—————X————→ | |
| 6. COMMUNICATION SKILLS | | |
| Listening | ←—————X————→ | |
| Speaking | ←—————X————→ | |
| Writing | ←—————X————→ | |

Duty Performance

- You have extensive knowledge of the T-41 system. Now you need to work on learning the new T-3A Firefly.
- Simulator instruction needs work.

Job Knowledge

- AETC Top Performer for T-41 instruction -- Kudos
- Need to learn T-3A
- Get with T-37 simulator personnel to review system operations.

Leadership Skills

- You must enforce standards-- I had to tell two of your students to get haircuts.
- The MIA/POW Fly In was a great idea. We've received many favorable comments.

Professional Qualities

- Some students were hurt when you did not teach required information
- You admitted your mistake
- Stick to instructor guide and plan

Organizational Skills

- Your development of a Comprehensive Continuity book and Operating Instruction for IPs vastly improved unit cohesiveness. First class results!
- Coordination of project was superb
- Too many scheduling conflicts between instructors-- everyone needs to use the "Board."
- I expect to see drastic improvements immediately.

Figure 2.4. Sample AF Form 724B, Company Grade Officer Performance Feedback Worksheet (Reverse).

| | |
|---|----------|
| STRENGTHS, SUGGESTED GOALS, AND ADDITIONAL COMMENTS (OPD: OES, Assignments, PME, and so forth) | |
| <p>-- There are times suspenses are beyond our control -- if you start them when received, your chances of meeting them increase</p> <p style="text-align: center;"><u>Judgement and Decisions</u></p> <p>- Don't be so quick to judge when emotions are involved</p> <p style="padding-left: 40px;">-- Your students will respect you more if you remain calm and in control</p> <p style="text-align: center;"><u>Communication Skills</u></p> <p>- Your skills are good for a junior officer but you are a captain now -- time to fine tune the excellent skills you already have</p> <p style="padding-left: 40px;">-- Sign up for "Toastmasters"; just an option</p> | |
| RATER SIGNATURE | DATE |
| Colleen M. Witherspoon | 4 Sep 96 |

AF FORM 724B, OCT 95 (REVERSE) (LRA) (PerFORM PRO)

2.3.6.3. Rate The Officer's Performance On The Six Performance Factors Printed On The Form. Review the officer's performance using the behaviors listed beneath each factor; then, mark the scales next to each of the six factors at the point

which best describes the officer's current performance. Occasionally, a particular factor won't be applicable to what the officer does. In these rare cases, do not mark the scale for that factor.

2.3.6.4. **Make Sure That The Ratings Are Valid.** The officer will work hardest to improve performance in the weakest areas. You are doing your ratee a disservice if you mark most duties as "needs little improvement" or even if you mark mostly on the upper half of the scale, unless the officer doesn't need much work in that particular area. Mark the scales so as to leave room to indicate improvement where warranted on future reports.

2.3.6.5. **Firewalling.** Firewalling or marking most of the scales to the extreme right is the most common rating error. Raters make this mistake for one of three reasons: they do not take the time to properly appraise performance; they do not wish to confront ratees; or they do not understand the purpose of performance feedback. Firewalling hinders ratees. Officers who receive these reports are at a disadvantage compared with their peers. They do not know where their performance falls short of expectations or which areas need improvement. Remember, no one sees the form but you and the ratee. Take the time to honestly appraise the ratee's performance, and mark the scales accordingly. (See AFI 37-132, *Air Force Privacy Act Program*). Read both this guide and AFI 36-2402 to ensure that you fully understand feedback principles and the role of the PFW.

2.3.6.6. **Use The Space To The Right Of The Scales For Remarks And Supporting Comments.** Comments may be either positive or negative. Positive comments reinforce the behavior and increase the chances of it happening again. Negative comments focus attention on areas needing improvement. Both positive and negative comments may be followed by suggestions for improvement.

2.3.6.7. **Provide Specific Behavioral Examples to the Ratee.** Common problems when forming comments include the tendency to be too general rather than providing specific behavioral examples, making comments abstract rather than concrete, using buzzwords and superlatives (e.g., super achiever, absolutely superior, on a fast track), or providing comments only on duty performance factors while ignoring officership factors. Examples of common problems in forming comments follow. These examples are provided in complete sentence format; you may prefer to use more succinct or abbreviated comments.

TOO GENERAL

You are doing a great job.

Be the "boss."

Need to improve job knowledge.

Good judgment.

You need to work on organizational skills.

Excellent writing skills.

IMPROVED

You did a great job rescheduling simulator training. We're now training five crews as fast as we used to train two. Suggest you apply same innovative thinking to other areas in aircrew upgrade program.

Clearly demonstrated your maintenance proficiency by identifying and recommending solutions for the problem with F-15 fuel tanks.

Use Sgt Owen's information judiciously. You're responsible for the final decision on the tasking project.

You should be able to run spreadsheets.

You need to improve your forecasting accuracy.

Really liked the way you handled the recent flame-out--cool, calm, and collected under pressure.

Your grade sheets are usually turned in after the deadline. Adjust your priorities to get them in on time.

Your ability to express complex ideas in a form that can be understood by the average reader is excellent. The article you wrote on manpower for the Wingspread is a good example. Some of the other officers could use your help when writing talkers.

BUZZWORDS/SUPERLATIVES

Your job knowledge is ahead of your peers.

Natural leader.

IMPROVED

You've obviously been hitting the books. Your maintenance record is very accurate, given your limited experience.

Your talent for coordination was apparent in your leadership of the multi-discipline team studying personnel factors and readiness.

| | |
|---------------------------|---|
| Potential is unlimited. | I am impressed by your willingness to take charge. Your handling of the Inspector General visitors in my absence was excellent. |
| Can do it all! | Appreciate your willingness to pitch in wherever you can. Your mission-planning expertise ensured an accurate low-level bomb run during the Operational Readiness Inspection. |
| Absolutely top performer. | Your strong areas are: (list them) |
| Winner. | Your enthusiasm and willingness to work extra hours doesn't go unnoticed. The whole squadron benefited from the safety briefings you worked over several weekends to finish. |

2.3.6.8. A Final Word About Comments. In each organization, one officer truly deserves to be called “the best in the organization.” It is unfair to that officer, and to those who are not “the best,” for a rater to write that comment on everyone’s PFW. Integrity as a rater demands that feedback be accurate and that each individual be given a fair chance to improve. That chance comes from knowing exactly where performance does not meet expectations. Inflated comments with meaningless superlatives and buzzwords harm, rather than help, ratees.

2.4. Conducting the Feedback Session:

2.4.1. Who Participates? The performance feedback session is meant to be a private discussion between the rater and the ratee. Therefore, it is not appropriate for anyone else to attend the session. In fact, neither party should discuss the session with a third party, except in unusual circumstances (AFI 37-132, *Air Force Privacy Act Program*).

2.4.2. How Is Responsibility For The Session Shared? Both parties share responsibility to ensure sessions are held. Commander's Support Staff (CSS) personnel send notices to both the rater and the ratee. Both should know when sessions are required. In addition, if either the rater or the ratee feels a session is needed, one should be held.

2.4.2.1. Ensuring Accuracy. The rater and the ratee are also jointly responsible for ensuring the accuracy and the completeness of the communication that occurs during the session. The feedback session is designed to be a joint discussion, not a directive session. Both participants are responsible for ensuring the ratee understands exactly what must be done to improve his or her performance. The rater is responsible for defining job-specific areas of performance to be discussed during the session, observing the ratee’s performance, and accurately conveying those observations to him or her.

2.4.2.2. Both parties share the responsibility for ensuring that the steps leading to improved performance are stated explicitly. The ratee should be sure he or she understands the specific actions needed to improve performance. The rater contributes to the ratee’s understanding by stating the actions he or she thinks should be taken to achieve that objective.

2.4.3. What Is The Purpose Of The Session? The performance feedback session provides an opportunity for direct communication between the rater and the ratee on performance-related issues. The ratee has a chance to learn what strengths and weaknesses were observed in his or her performance. The ratee can discuss these observations with the rater and can clarify any confusion about the observations, the expected improvement, and future actions necessary to improve performance.

2.4.3.1. Motivation And Information. The feedback session is meant to increase an officer’s motivation to improve job performance by providing specific information and concrete direction for change. The session is meant to be a two-way communication between the rater and ratee. It is not the formal assessment for the record. It is an informative discussion about the job-specific behaviors that are most important to the unit’s mission and the duties which need to be performed better for satisfactory mission accomplishment.

2.4.4. When Should The Feedback Session Be Held? The first feedback session should be held within 60 days of the date the officer reports for duty, a performance report closes out, or change of reporting official occurs. Communication of job requirements and expectations soon after the officer reports to the unit minimizes concern and worry about performance and increases an officer’s chances for success. Feedback after a performance report closes out helps the officer to start the next reporting period fully focused on areas needing improvement. For officers on the active duty list, the second session should be held midway through the reporting period to appraise progress and help make any necessary corrections before the next formal evaluation is accomplished. For officers not on the ADL, conduct the annual session 60 days after the OPR closeout (ANG) or halfway through the OPR cycle (USAFR). See AFI 36-2402, paragraph 2.5, to determine when feedback sessions are due.

2.4.5. What Communication Skills Are Necessary?

- Focus On The Behavior, Not The Person. Provide feedback to an officer in a way that he or she understands it, is able to accept it, and is able to do something about it. A direct measure of the success of the session is the extent to which the ratee knows precisely what he or she needs to do to improve daily performance.

- Listen Carefully. Concentrate on what the other person is saying and think about what is heard. The listener may have to fight the tendency to think about a response instead of what is being said. The listener may also have to fight the tendency to interject his or her “two-cents” worth. These poor habits hinder good communication.
- Listen To Tone And Inflection. People do not always say what they mean. Sensitive issues may be carefully skirted or surfaced in subtle ways. During the feedback session, remain alert for changes in the speaker’s voice and manner. Listen, not only for facts, but also for generalizations or shades of meaning.
- Paraphrase What Is Heard. Repeating the speaker’s message is a good way to check your understanding of what was said. If a misunderstanding happens, the other person can provide clarification immediately.
- Encourage The Ratee. You should support the ratee during the feedback session by giving him or her complete, undivided attention and by encouraging the ratee’s participation. You should also ask for the ratee’s input and respond directly to that input.
- Conclude With A Summary. At the end of the conversation, you should restate important discussion points. A summary serves to highlight key points and helps to clarify any possible areas of confusion.
- End The Session On A Friendly, Encouraging Note. Remind the ratee that the feedback session is intended to help him or her know what and how to improve. Feedback discussions aren’t meant as personal criticisms of the ratee. Frank discussions of the ratee’s performance strengths and weaknesses are necessary. Everyone has room to improve.

2.4.5.1. Examples. Here are two examples of the above points, one good and one poor. In the first example, the ratee has a clear idea of what the performance problem is and how to improve. In the second example, a problem exists, but the officer doesn’t have enough information to correct it.

GOOD

Rater: “You need to improve your platform speaking.”
 Ratee: “Yes, I know. I could do better at giving briefings.”
 Rater: “You seem to have trouble making eye contact and speaking loudly enough.”
 Ratee: “Eye contact and speaking louder. Is that all?”
 Rater: “Yes. Your speeches are well organized but you need to improve your delivery.”

POOR:

Rater: “You need to improve your platform speaking.”
 Ratee: “Oh.”
 Rater: “I can’t make out what you’re saying. I’ve picked up some complaints from others too.”
 Ratee: “Complaints about what?”
 Rater: “Well, your voice, and things like that. You know what I mean.”
 Ratee: “I’ll try harder, Sir.”

2.4.6. What Are Some Of The Hurdles To Effective Communication?

- Superior-Subordinate Relationships. Straightforward communication is often inhibited in superior-subordinate relationships. Superiors may find it is difficult to get subordinates to express their opinion unless specifically asked. Subordinates may think it’s to their advantage to discuss only strengths and to hide shortcomings. Constructive feedback for individual development requires open and honest communication.
- One-Way Streets. Communication is an interactive process, requiring more than one participant. If communication is to be effective, ratees must be given the opportunity to provide input, ask questions, raise issues and concerns, and voice opinions. This requires an atmosphere of openness and trust. It also requires the rater to remain supportive and attentive throughout the feedback session and to encourage ratee input.
- Lack Of Preparation By Ratees. Ratees need to prepare themselves for a frank discussion of their performance and their rater’s expectations. This preparation should include a review of previous PFWs and a self-analysis of their current and past performance. They may also need to develop a list of items to be discussed with the rater.

2.4.7. What Happens After The Session? Do not use the PFW for any purpose other than the feedback session and personal reference. Use of the form for any other purpose except as authorized by AFI 36-2402 or an appeal by the ratee of personnel actions taken clearly violates Air Force policy and the intent of the form as a private communication tool.

2.4.7.1. **The Ratee Gets The PFW.** At the end of the feedback session, the rater makes and keeps a copy of the form, as required, and gives the original to the ratee. The copy may be used for personal reference when preparing for future feedback sessions or when the rater (who prepared the PFW) completes an OPR. No one else may have access to it. The commander may establish procedures to verify that feedback was accomplished.

2.4.7.2. **The Ratee May Discuss The Session.** If the ratee chooses to make the contents of the form known, that's his or her prerogative. However, sharing this private information with others may inhibit the open nature of future discussions and hinder honest communication and feedback. The rater is forbidden to disclose the contents to anyone other than the officer on whom the form has been prepared unless the ratee introduces the PFW as documentation in an appeal or alleges that required feedback sessions were not held or were inadequate.

2.4.7.3. **Follow-Up To Ensure Successful Professional Development.** Part of your responsibility is to ensure that the ratee is able to improve performance. Periodically, the rater should check to ensure the officer is improving. If the officer needs extra help, the rater should be available with suggestions or guidance. In some cases, more frequent formal feedback sessions may be warranted. Helping the officer make improvements in his or her behavior strengthens the unit's performance.

Chapter 3

OFFICER PERFORMANCE REPORTING

3.1. Purpose. Documenting an officer's performance via the OPR is the second key element in the OES. Evaluation of job performance is a fundamental leadership function. Raters must honestly observe, evaluate, and accurately document individual accomplishment in preparing performance evaluations. The OPR is the official record of an officer's performance and provides information used for school selection, promotion, assignment, separation, and other management actions. This chapter discusses:

- The evaluation process.
- Mechanics of the OPR process.
- Advantages of the OPR.
- Accomplishing the OPR.

3.1.1. **What Is The Evaluation Process?** Normally, the evaluation process follows a sequence of three steps: observation; evaluation; and documentation.

3.1.1.1. **Observation.** Effective observation for evaluation purposes requires a great deal of planning and preparation. For instance, if performance demonstrated the first and last months of a 12-month observation period are to carry equal weight towards evaluation, then the observer must plan ahead and develop a system of noting performance consistently throughout the period. In addition to planning and preparation, communication is essential to effective evaluation. The period of observation must begin with a clear understanding by the rater and ratee of the standards which form the basis for measuring performance and the expectations that determine success or failure. Feedback during the observation period is essential if the evaluation is to be useful for individual development. A skillful evaluator plans well and communicates effectively throughout the observation period.

3.1.1.2. **Evaluation.** You judge the performance. By comparing the observed performance with predetermined standards and the performance of others, the evaluator rates the quality of performance.

3.1.1.3. **Documentation.** The final step in the evaluation process is recording the results. In the OES, the results are documented on AF Forms 707A and 707B. The OPR provides the long-term record of an officer's professional development and is a primary way to identify outstanding performers within the officer force.

3.1.2. **What Are The Mechanics Of The Officer Performance Report Process?** The OPR is written for all officers, except general officers and brigadier general selectees.

3.1.2.1. **Prepared By The Rater.** The OPR is prepared by the first official in the rating chain serving in a grade equal to or higher than that of the ratee. In most cases, the rater is the officer's immediate supervisor. **NOTE:** The rater will not have the ratee write any portion of his or her own OPR. The ratee may provide the rater input on specific achievements.

3.1.2.2. **Prepared Annually.** For officers on the active duty list, reports are prepared annually. Also, when an officer changes raters and the supervision period was at least 120 calendar days, a report is accomplished by the losing rater. For extended active duty (EAD) ANG officers, ANG officers not on EAD, or USAFR officers not on the active duty list, see AFI 36-2402, tables 3.1, 3.2, and 3.3 respectively for submitting an OPR.

3.1.2.3. **Placed In The Officer's Personnel Record.** All reports are placed in the officer's personnel record and become a permanent part of the record. This provides a long-term record of performance and performance-based potential.

3.1.2.4. Reviewed For Compliance With Regulations. The OPR is reviewed by the additional rater and the reviewer to ensure its accuracy and relevance. Reports are reviewed by CSS and MPF personnel, and randomly by HQ AFPC staff members to ensure compliance with the governing directive.

3.1.3. How Should The OPR Correlate With Performance Feedback? One advantage of the OES is that the officer shouldn't be surprised by the OPR. The performance factors rated on the OPR are also the focus of assessment on the PFW. The officer's immediate supervisor, as long as he or she is of equal or higher rank, is the rater on both the OPR and PFW.

3.1.4. What's Important When Preparing The Officer Performance Report? Evaluators must review unfavorable information files (UIF) and unit personnel information files (PIF) prior to completing an OPR. Evaluators must also consider making comments on the OPRs if an officer receives adverse actions such as Article 15, Letter of Reprimand, Admonishment, or Counseling. Comments are mandatory when an officer is convicted by court-martial. Any OPR that contains information pertaining to a court-martial conviction must be referred in accordance with AFI 36-2402. Figures 3.1 through 3.4 represent examples of the completed OPRs. Both forms are provided to show the differences between the company grade and the field grade OPR. The forms are the same except for the standards of behavior listed under the performance factors in Section V. The differences are explained in the discussion of those sections. Non-EAD ANG and USAFR officers should refer to AFI 36-2402, figure 3.2, for detailed instructions on completing AF Forms 707A and 707B.

- Section I. Ratee Identification Data. Information for this entry is provided to the rater via a Report on Individual Personnel (RIP) from the unit personnel office or the Reserve MPF. The rater confirms that the information is correct and transfers the information to the form in the appropriate block.
- Section II. Unit Mission Description. The unit mission description identifies the unit's responsibilities and place in the Air Force organizational structure. Created by the unit commander, the standard or "canned" unit mission description must be approved by the reviewer. The approved mission description is the only acceptable entry in this section and will appear on all OPRs of all officers assigned to the unit. Some general hints in preparing a good unit mission description are:
 - Clearly show unit's tasking and who the unit supports.
 - Show how the unit is different from other units with similar functions.
 - Use layman's terms, spell out acronyms, and explain as necessary.
 - Quantify where possible (supports three combat-ready units, 24 F-16 aircraft; processes over 60,000 basic trainees annually).
 - Indicate if the unit is selectively manned.
- Section III. Job Description. This entry reflects the officer's duty title, provides information about his or her duties, and explains the nature and level of the ratee's job responsibilities. Some general hints in preparing a good job description include:
 - Clearly show the actual job and level of responsibility.
 - Avoid the appearance of being layered or buried.
 - Quantify where possible (number of people supervised, dollar value or quantity of resources managed).
 - Use layman's terms and avoid or explain acronyms.
 - Use short, hard-hitting sentences.

3.1.5. Examples Of Job Descriptions:

- Weak Job Description:
 - Duty Title: Chief, Resources and Requirements.
 - Key Duties, Tasks, Responsibilities: Responsible for numerous aspects of civil engineering operations, including construction and repairs of base facilities and grounds maintenance. Supervises three personnel and oversees work force. Manages large supply account for the unit. Responsible for unit vehicles.
- Stronger Job Description:
 - Duty Title: Chief, Resources and Requirements.
 - Key Duties, Tasks, Responsibilities: Plans, requisitions materiel, and schedules civil engineering operations, maintenance, and repairs for base facilities, including housing and over 5,000 acres of grounds. Directly supervises three personnel and oversees a 37-person work force. Manages multimillion-dollar account for supplies and equipment. Also responsible for civil engineering vehicles.
- Strongest Job Description:
 - Duty Title: Chief, Resources and Requirements.
 - Key Duties, Tasks, Responsibilities: Responsible for receiving, planning, programming, materiel requisitioning, and scheduling of all civil engineering in-service operations, maintenance, repair, and minor construction work on 279 base facilities, 790 family housing units, and 5,100 acres of grounds valued at \$72 million. Oversees a work

force of 37 people and directly supervises 3 section chiefs. Manages the expenditures of \$2.5 million for supplies and equipment to accomplish work. Also responsible for all civil engineering vehicles.

- Section IV. Impact On Mission Accomplishment. Provide the “meat and potatoes” of an officer’s evaluation. It’s designed to evaluate tasks and responsibilities unique to the officer’s job and to focus the evaluation of performance on that particular job. List in simple bullet format the officer’s specific contributions to the unit’s mission--what the ratee did, how well it was done, and what impact it had on mission accomplishment. In writing strong bullet statements, keep the following suggestions in mind. Choose a strong beginning. To make the section more interesting, do not start every bullet in the same way; add variety. Consider starting some bullets with an action verb or a modified action verb.
 - Action Verb Bullets:
 - Achieved a 100% in-commission rate.
 - Flew 200 incident-free sorties.
 - Modified Verb Bullets:
 - Consistently exceeds HQ AF standards of . . .
 - Solely responsible for cost savings of . . .
 - Specific Achievement Bullets:
 - No discrepancies noted in her area during recent IG inspection.
 - All student pilot records were error free.
 - Generally, avoid beginning the bullet with a pronoun or the ratee’s name. Use specific examples--they demonstrate specific accomplishments. More than one specific result might be used to demonstrate a given behavior.
 - Specific Example Bullets:
 - Conducted ten staff assistance visits this year.
 - All units visited rated excellent on subsequent IG visits.
 - Two units selected for Air Force-wide recognition.

3.1.6. Stress mission impact: Do not mention accomplishments that do not impact the mission such as additional duties, PME, or advanced academic education. Leave the reader with a strong sense of what the officer did that helped your unit’s mission. Here are some examples:

- Does Not Demonstrate Mission Impact.
 - Presented paper on airspace management in the battle area to AWC symposium.
- Demonstrates Mission Impact.
 - Achieved 10% increase in Army Corps area support thru innovative airspace management.

3.1.7. While bullet format is required in Section IV of the OPR, you can also use bullet points in sections VI and VII. Remember, you can use Section VI to continue mission-impact examples. A Rater Precaution: Comments in this section relate only to the mission of the assigned unit and not to the parent wing, center, or group. For example, an officer assigned to a base finance office is evaluated on contributions to the finance office’s mission, not the mission of the parent wing. The key is to focus on the duties, tasks, and responsibilities identified in the job description in Section III. These elements provide the basis for the rater’s evaluation and comments in Section IV. Here are additional examples of strong and weak comments:

WEAK

Dynamic and aggressive, performs all assigned duties in an absolutely superior manner.

Consistently makes solid decisions that impact far into the future.

Contributed significantly to the success of this unit--earned the Air Force Outstanding Unit Award.

STRONG

Maintained 12-month 85.5 % fully mission-capable rate on 24 F-15 aircraft, best in the wing.

Consistently exceeds ACC’s 73% fix-rate goal.

Maintained 77.5% on-time takeoff rate since assigned.

- Section V. Performance Factors. This section identifies six qualities and skills all Air Force officers must demonstrate in the performance of their duties. To reinforce the understanding of what officer qualities are important, descriptions of behaviors or standards are provided on the form under each factor. The standards listed are not the only ones you can consider and rater considerations may extend beyond just on-the-job performance. For instance, it’s the duty of every officer to obey civil law. Being arrested by civil authorities for breaking those laws may indicate a

failure to live up to his or her duty, and may be reflected in the ratings of leadership, professional qualities, and judgment, and should be mentioned in Section VI, Rater Overall Assessment.

- The system is a two-block system--"Does Not Meet Standards" or "Meets Standards." Mark the appropriate block to indicate whether the officer meets the standard or not.
- Different OPR forms are used for company grade (AF Form 707B) and field grade (AF Form 707A) officers. On the field grade officer form, additional standards have been added to some of the performance factors and others are expanded over those listed for company grade officers. These differences focus on the broader performance expected of outstanding performers at the field grade level. These differences are seen when you compare Section V of the two OPRs illustrated in figures 3.1 and 3.3.
- The quality of Air Force officers is high and nearly all officers meet standards in each area. So, if the rater marks any factor as "Does Not Meet Standards," the report becomes a referral report and is processed accordingly. The two-block rating scale ensures that an officer whose record is negatively impacted by a performance rating will have an opportunity for redress. The ratee gets an opportunity to comment and the rating officer is obligated to explain how the officer fails to meet standards. AFI 36-2402, paragraph 3.7, provides direction for processing referral reports. Although the OPR involves only a two-block rating, you still need to understand the potential for rating errors such as those discussed in chapter 2. These may undermine the validity of the report.
- Section VI. Rater Overall Assessment. This section provides space for an evaluation of the officer's current performance and potential based on that performance. It can be used as a continuation of Section IV and to document significant additional duties and other accomplishments not found elsewhere in the record. Avoid repeating information already in Section IV, although it is appropriate to expand on a Section IV comment here. Use either narrative or bullet format. If you think there's a need to comment on some aspect of the officer's behavior other than job performance and the standards identified under the six factors of the previous section, it is appropriate to make those comments in this section.
- It is important to again note that comments on potential are solely based on current duty performance and not on other considerations such as PME, advanced academic education, and previous reports. You cannot say whether an officer has or has not completed or is working on PME or an advanced degree. This information is available elsewhere in the officer's record or via a letter to the promotion board president. Further, promotion recommendations--implied or explicit--are prohibited. Promotion recommendations are reserved for the senior rater in the PRF when the officer meets a promotion selection board. However, recommendations for a particular assignment (i.e. in-residence PME or assignment to a command position), retention, or to augment may appear in this section (if warranted). Remarks about community involvement and additional duties can also be included. Officer Performance Reports are reviewed by the additional rater, the reviewer, MPF personnel, and randomly by HQ AFPC staff members to ensure compliance with these restrictions (see AFI 36-2402, paragraphs 1.3 and 1.4, for mandatory and inappropriate comments). For non-EAD officers, a comment on the relationship of his or her civilian job to his or her military job is also appropriate. Some examples follow to illustrate acceptable and unacceptable comments:

NOT ALLOWED

Completed Air Command and Staff College as a distinguished graduate.

Enrolled in Master's Program.

A future senior leader, has senior leadership potential.

Increased (his or her) value to this unit by completing Master's degree in Computer Science.

Recommended for Bronze Star for meritorious service during:

Promote this board.

Maj Jones is filling a Lt Col billet.

ALLOWED

Displays judgment and foresight managing \$3M budget; allowed unit to fulfill all commitments in the face of fiscal austerity.

Recommend (he or she) attend Air Command and Staff College at earliest opportunity.

Make her a flying SQ/CC.

This unit's next nominee for attendance at the USAF Advanced Fighter Weapons Course.

HQ AETC/XXX could use (his or her) keen insight and rock-solid judgment--needs increased responsibilities to grow.

Exemplifies "caring for others;" organized Annual Special Olympics outing for mentally handicapped children.

3.1.8. Indicate the date of the last feedback performed during the reporting period. If you did not provide performance feedback consistent with direction provided in AFI 36-2402, chapter 2, an explanation is required in the certification block on the OPR.

- Section VII. The Additional Rater Overall Assessment. The additional rater will be the second official in the rating chain, after the rater, serving in a grade equal to or higher than the rater and in a grade higher than the ratee. A colonel may be the additional rater for a colonel. The additional rater for health profession officers (AFSC 4XXX) on EAD must be serving in a grade equal to or higher than the rater and ratee. This section provides an opportunity for the additional rater to add a broader view of the ratee's performance and potential based on performance. Like the rater, the additional rater is limited in what may be considered when assessing potential based on performance. The concur/nonconcur blocks provide a clear indication of agreement or disagreement with the rater's evaluation. The additional rater may disagree with either one or more of the six performance factor ratings in Section V, or with comments made by the rater in Sections IV or VI, or with a combination of all three. Disagreement with a performance factor rating in Section V is indicated by the additional rater initialing the other rating square of the performance factor and marking the nonconcur block in Section VII. Disagreement with the rater's comments in Section IV or VI is indicated by marking the nonconcur block, and explaining the disagreement in Section VII.
- Section VIII. Reviewer. The reviewer for majors and below is an official in at least the grade of colonel or equivalent in a wing commander or equivalent position. For lieutenant colonels and colonels, the reviewer is the first general officer or equivalent in the rating chain.
 - The reviewer section provides the reviewing officer an opportunity to concur or nonconcur with the additional rater's evaluation and comments. A quality review is the reviewer's primary responsibility. If the reviewer agrees with the report, no comments are allowed. The reviewer simply marks the concur block and signs the report. If any part of the report is considered inappropriate or unrealistic, the reviewer returns the report for reconsideration. If the rater and additional rater fail to respond, the reviewer marks the nonconcur block, notes the disagreement, and sends the report forward. The reviewer cannot "nonconcur" for the sake of endorsing the report. For example, "This officer is even better than previously stated."
 - A Reviewer Precaution. The OPR quality review is a key point in the OES process. It places the integrity of the system largely in the hands of one dual-hatted individual--the senior rater. He or she is dual-hatted as the reviewer of the OPR, and as the senior rater of the promotion recommendation process. (See paragraph 4.1.2 for definition of ResAF senior raters.) This person not only performs the quality review of the OPR, but also later makes promotion recommendations for each of those same officers. Therefore, the reviewer exercises great care to ensure the validity and quality of the rater's comments, the appropriateness of the entries for a particular section, and the correctness of the entries in each section of the OPR. If the reviewer allows raters to inflate the evaluation or make inappropriate comments, concurrence on the OPR may not track with the promotion recommendation on the PRF. When warranted, it is appropriate to concur as the OPR reviewer with a statement by the rater or additional rater such as "best in the wing." The reviewer should remember that as the PRF senior rater, he or she must eventually rank all of the promotion eligible officers in the group, and may well find that another officer is more deserving and better qualified for a "Definitely Promote" recommendation. Statements made by the rater or additional rater which overstate an individual's ranking in the larger organization are inflationary and are unfair to the officer being rated and to other officers within the organization. Raters and additional raters should avoid these inflationary tendencies, and reviewers have the responsibility for correcting them when they do occur.
- Section IX. Air Force Advisor/Acquisition Examiner. When the designated reviewer is not an Air Force officer or Department of the Air Force (DAF) official, an Air Force advisor is designated to advise evaluators on matters pertaining to Air Force OPRs. The advisor may make comments regarding the officer's duty performance on an AF Form 77. A review by an Acquisition Examiner is required for officers serving in certain acquisition positions. The examiner may make comment on an AF Form 77, **Supplemental Evaluation Sheet**, to provide clarification about acquisition-related considerations. The examiner cannot change any statement or rating on the OPR. See AFI 36-2402, chapter 3, paragraphs 3.8 and 3.9 for further details on the Air Force Advisor/Acquisition Examiner Programs.

Figure 3.1. Sample AF Form 707A, Field Grade Officer Performance Report (Front).

| FIELD GRADE OFFICER PERFORMANCE REPORT | | | |
|---|-----------------------|------------------------------------|-------------------------------------|
| I. RATEE IDENTIFICATION DATA (Read AF 36-2402 carefully before filling in any item) | | | |
| 1. NAME (Last, First, Middle Initial) MORRIS, ROGER J. | 2. SSN 007-00-7007 | 3. GRADE Major | 4. DAFSC 11A3 |
| 5. PERIOD OF REPORT From: 7 Jun 95 Thru: 6 Jun 96 | | 6. NO. DAYS SUPERVISION 205 | 7. REASON FOR REPORT Annual |
| 8. ORGANIZATION, COMMAND, LOCATION 50th Airlift Squadron (AMC), Little Rock AFB AR | | | 9. PAS CODE LP1LFD88 |
| II. UNIT MISSION DESCRIPTION | | | |
| Maintains quality aircrew and aircraft readiness to mobilize, deploy, and provide global reach capabilities. Conducts aeromedical evacuation and special operations low-level flying missions. Provides on-and-off equipment repairs, servicing and scheduled inspections. Encompasses 436 assigned personnel, 32 combat-ready crews for 15 authorized aircraft, and an annual budget exceeding \$2 million. | | | |
| III. JOB DESCRIPTION | | | |
| 1. DUTY TITLE: Operations Officer | | | |
| 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES: Plans and organizes squadron flying activities. Supervises operational and training missions. Manages 143 assigned and attached aircrew members, ensuring all are properly trained and ready for their wartime mission. Establishes unit operational policies and procedures while exercising supervision over tactical training and employment of combat-ready forces. Supervises deployment of squadron operational contingents to worldwide locations. Advises the squadron commander regarding readiness and effectiveness of the unit's aircrews. Assumes the duties of the squadron commander during her absence. | | | |
| IV. IMPACT ON MISSION ACCOMPLISHMENT | | | |
| <ul style="list-style-type: none"> - Outstanding performance directing operations during Exercise GREEN PINE 95 unit deployment of 15 aircraft and more than 100 aircrew members <ul style="list-style-type: none"> -- Superb leadership resulted in an amazing 1,100 sorties and 2,800 hours of accident-free flying -- Provided critically needed, quality airlift during a period of turbulent change within EUCOM - Solved serious safety shortcomings with aircrew loading crews through dedicated counseling and direct involvement with flightline personnel <ul style="list-style-type: none"> -- Result: Squadron awarded the Outstanding Safety Award for Exercise WHITE SANDS 96 - Expertly reorganized squadron structure to join operations and maintenance, effectively doubling the size <ul style="list-style-type: none"> -- Continuously provided sterling service to all customers throughout the reorganization | | | |
| V. PERFORMANCE FACTORS | | DOES NOT MEET STANDARDS | MEETS STANDARDS |
| 1. Job Knowledge Has knowledge required to perform duties effectively. Strives to improve knowledge. Applies knowledge to handle nonroutine situations. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2. Leadership Skills Sets and enforces standards. Motivates subordinates. Works well with others. Fosters teamwork. Displays initiative. Self-confident. Has respect and confidence of subordinates. Fair and consistent in evaluation of subordinates. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3. Professional Qualities Exhibits loyalty, discipline, dedication, integrity, honesty, and officership. Adheres to Air Force standards. Accepts personal responsibility. Is fair and objective. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 4. Organizational Skills Plans, coordinates, schedules, and uses resources effectively. Schedules work for self and others equitably and effectively. Anticipates and solves problems. Meets suspenses. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 5. Judgement and Decisions Makes timely and accurate decisions. Emphasizes logic in decision making. Retains composure in stressful situations. Recognizes opportunities and acts to take advantage of them. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 6. Communication Skills Listens, speaks, and writes effectively. | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Figure 3.2. Sample AF Form 707A, Field Grade Officer Performance Report (Reverse).


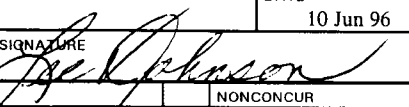
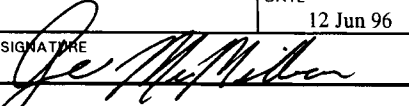
| | | |
|--|---|---|
| VI. RATER OVERALL ASSESSMENT | | |
| <ul style="list-style-type: none"> - Outstanding officer and one of the key players in the unit's successful combat safety record - Through extensive training, ensured the entire squadron was combat-ready for deployment when tasked - Selected for TDY to Turkey to resolve serious problems which threatened the mission and unit morale - With superb diplomacy, he succeeded where others failed and garnered 100 percent mission success <ul style="list-style-type: none"> -- Overcame significant limitations in personnel, facilities, and equipment to consolidate flying and maintenance forces into the most cohesive unit in my command -- His team flew four highly successful rotations to three continents, five combat-oriented training exercises and 10,000 flying hours without a mishap - Never hesitate to challenge--he is the beacon of leadership | | |
| Last performance feedback was accomplished on: <u>2 Feb 96</u> (consistent with the direction in AF 36-2402.) (If not accomplished, state the reason) | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION JOAN A. WAYNE, Lt Col, USAF 50th Flying Squadron (AMC) Little Rock AFB AR | DUTY TITLE Commander SSN 300-30-3000 | DATE 6 Jun 96 SIGNATURE  |
| VII. ADDITIONAL RATER OVERALL ASSESSMENT <input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> NONCONCUR | | |
| <ul style="list-style-type: none"> - Tops in our field: he was chosen to run our safety and standardization functions during Operation TROPICAL STORM - Confidently trusted him to conduct a sensitive wing investigation and took his recommendation verbatim - Epitomizes the ideal squadron operations officer--a skilled flyer, leader and organizer - Select this outstanding officer for ISS and then command | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION LEE V. JOHNSON, Colonel, USAF 350th Operations Group (AMC) Little Rock AFB AR | DUTY TITLE Commander SSN 111-22-3333 | DATE 10 Jun 96 SIGNATURE  |
| VIII. REVIEWER <input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> NONCONCUR | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION G.C. McMILLAN, Brig Gen, USAF 350th Airlift Wing (AMC) Little Rock AFB AR | | |
| DUTY TITLE Commander SSN 222-11-4444 | | |
| DATE 12 Jun 96 SIGNATURE  | | |
| Instructions All: Recommendations must be based on performance and the potential based on that performance. Promotion recommendations are prohibited. Do not comment on completion of or enrollment in PME, advanced education, previous or anticipated promotion recommendations on AF Form 709, OER indorsement levels, family activities, marital status, race, sex, ethnic origin, age, or religion. Rater: Focus your evaluation in Section IV on what the officer did, how well he or she did it and how the officer contributed to mission accomplishment. Write in concise "bullet" format. Your comments in Section VI may include recommendations for augmentation or assignment. Additional Rater: Carefully review the rater's evaluation to ensure it is accurate, unbiased and uninflated. If you disagree, you may ask the rater to review his or her evaluation. You may not direct a change in the evaluation. If you still disagree with the rater, mark "NON-CONCUR" and explain. You may include recommendations for augmentation or assignment. Reviewer: Carefully review the rater's and additional rater's ratings and comments. If their evaluations are accurate, unbiased and uninflated, mark the form "CONCUR" and sign the form. If you disagree with previous evaluators, you may ask them to review their evaluations. You may not direct them to change their appraisals. If you still disagree with the additional rater, mark "NONCONCUR" and explain in Section VIII. Do not use "NONCONCUR" simply to provide comments on the report. | | |
| IX. ACQUISITION EXAMINER/AIR FORCE ADVISOR (Indicate applicable review by marking the appropriate box(es).) | | |
| ACQUISITION EXAMINER (If applicable) | | |
| AIR FORCE ADVISOR (If applicable) | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION | SIGNATURE | DATE |

Figure 3.3. Sample AF Form 707B, Company Grade Officer Performance Report (Front).

| COMPANY GRADE OFFICER PERFORMANCE REPORT | | | |
|--|------------------------------------|-------------------------------------|--------------------------------|
| I. RATEE IDENTIFICATION DATA (Read AFI 36-2402 carefully before filling in any item) | | | |
| 1. NAME (Last, First, Middle Initial) GRAYSON, KAHN S. | 2. SSN 123-45-6789 | 3. GRADE 1st Lt | 4. DAFSC 14N3A |
| 5. PERIOD OF REPORT From: 27 Oct 94 Thru: 26 Oct 95 | | 6. NO. DAYS SUPERVISION 365 | 7. REASON FOR REPORT Annual |
| 8. ORGANIZATION, COMMAND, LOCATION 67th Operations Support Squadron (AIA), Kelly Air Force Base, Texas | | | 9. PAS CODE KH0UF7JH |
| II. UNIT MISSION DESCRIPTION | | | |
| Provides around-the-clock support to tactical commanders, national decision makers, and joint agencies relating to airborne and ground mission analysis and dissemination of special information. Assists Air Force components with employing AIA forces in low-intensity conflicts, counterdrug operations, and contingencies. Provides management support to AIA field operations at 102 units worldwide. | | | |
| III. JOB DESCRIPTION | | | |
| 1. DUTY TITLE: Chief, Programs and Resources (PR) | | | |
| 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES: Responsible for supervision of unit programs for a 120-person geographically separated unit. Prepares staff packages and briefings on operational issues from the operations of four groups, nine squadrons, and two operating locations. Prepares informational and decisional packages on airborne, ground, and securities issues for the commanders, 67th Intelligence Wing, Air Intelligence Agency, and Air Staff. Oversees Resource Management function responsible for annual squadron budget of \$300,000. Additional duties: Wing Mission Briefing Team Chief; Fraud, Waste and Abuse Monitor; Terminal Area Security Officer. | | | |
| IV. IMPACT ON MISSION ACCOMPLISHMENT | | | |
| <ul style="list-style-type: none"> - Performed several key roles in wing and squadron quality efforts; helped us on our "quality journey" <ul style="list-style-type: none"> -- Member of Customer Service Team; determined requirements of customers before process improvement - Wing mission briefer to Air Force and Army general officers and foreign commanders - Identified poor security practices as investigating officer; his recommendations improved security - Spearheaded the establishment of new PR functions in the squadron <ul style="list-style-type: none"> -- Responsible for supervising coordination of 120 unit personnel assignments--a masterpiece of balancing -- Managed update of six interagency support agreements in record-breaking time - Key player in the 67IW change of command ceremony; ensured plans and execution unfolded flawlessly - Adroitly handled all details for recent senior officer visits to unit--a protocol officer extraordinaire | | | |
| V. PERFORMANCE FACTORS | DOES NOT MEET STANDARDS | MEETS STANDARDS | |
| 1. Job Knowledge Has knowledge required to perform duties effectively. Strives to improve knowledge. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| 2. Leadership Skills Sets and enforces standards. Works well with others. Fosters teamwork. Displays initiative. Self-confident. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| 3. Professional Qualities Exhibits loyalty, discipline, dedication, integrity, honesty, and officership. Adheres to Air Force standards. Accepts personal responsibility. Is fair and objective. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| 4. Organizational Skills Demonstrates ability to plan, coordinate, schedule effectively, and uses resources effectively and efficiently. Meets suspenses. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| 5. Judgement and Decisions Makes timely and accurate decisions. Emphasizes logic in decision making. Retains composure in stressful situations. Recognizes opportunities. Requires minimal supervision. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |
| 6. Communication Skills Listens, speaks, and writes effectively. | <input type="checkbox"/> | <input checked="" type="checkbox"/> | |

Figure 3.4. Sample AF Form 707B, Company Grade Officer Performance Report (Reverse).

| | | |
|--|------------------------------|---------------------------|
| VI. RATER OVERALL ASSESSMENT | | |
| <p>Lieutenant Grayson has been a windfall for this organization. An extremely talented and versatile performer; selected him to head up the new PR shop. Oversaw daily production/presentations of 67IW Commander's Daily Intelligence Update. Kept commander and his staff aware of current situation and intelligence operations around the world. Wing collection management representative at GREEN FLAG 95 exercise at Nellis AFB NV. Reorganized and updated system for manning officer TDY rotations to Saudi Arabia, Vencenza, and Naples. Epitomizes the "whole person" officer we're looking for in today's Air Force--successfully completed Covey leadership training. Member of the Humane Society. Also deeply involved with "Meals on Wheels" program. A promising young officer; send him to Squadron Officer School in-residence and augment now. Then challenge with a command position.</p> | | |
| <p>Last performance feedback was accomplished on: <u>31 Jul 95</u> (consistent with the direction in AFI 36-2402.) (If not accomplished, state the reason)</p> | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION | DUTY TITLE | DATE |
| MARK L. CARPENTER, Maj, USAF | Commander, Operations Flight | 31 Oct 95 |
| 67th Operations Support Squadron (AIA) | SSN | SIGNATURE |
| Kelly AFB TX | 111-11-1111 | <i>Mark L. Carpenter</i> |
| VII. ADDITIONAL RATER OVERALL ASSESSMENT | | |
| <p><input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> NONCONCUR</p> <p>Lieutenant Grayson is a superb performer and trusted officer. He developed and presented a concise briefing for the Deputy Director of the Nonproliferation Center, explaining wing contributions to this increasingly important field of intelligence operations. He flawlessly managed a multitude of Programming Plan actions for this squadron in spite of 30 percent loss of personnel. Lt Grayson is truly top-notch, an impressive officer with outstanding credentials. Augment and send this future commander to SOS.</p> | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION | DUTY TITLE | DATE |
| BETTY J. SMITH, Lt Col, USAF | Commander | 1 Nov 95 |
| 67th Operations Support Squadron (AIA) | SSN | SIGNATURE |
| Kelly AFB TX | 222-22-2222 | <i>Betty J. Smith</i> |
| VIII. REVIEWER | | |
| <p><input checked="" type="checkbox"/> CONCUR <input type="checkbox"/> NONCONCUR</p> | | |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION | DUTY TITLE | DATE |
| FRANKLIN P. THOMAS, Col, USAF | Commander | 5 Nov 95 |
| 67th Intelligence Wing (AIA) | SSN | SIGNATURE |
| Kelly AFB TX | 333-33-3333 | <i>Franklin P. Thomas</i> |
| <p>Instructions</p> <p>All: Recommendations must be based on performance and the potential based on that performance. Promotion recommendations are prohibited. Do not comment on completion of or enrollment in PME, advanced education, previous or anticipated promotion recommendations on AF Form 709, OER indorsement levels, family activities, marital status, race, sex, ethnic origin, age, or religion.</p> <p>Rater: Focus your evaluation in Section IV on what the officer did, how well he or she did it and how the officer contributed to mission accomplishment. Write in concise "bullet" format. Your comments in Section VI may include recommendations for augmentation or assignment.</p> <p>Additional Rater: Carefully review the rater's evaluation to ensure it is accurate, unbiased and uninflated. If you disagree, you may ask the rater to review his or her evaluation. You may not direct a change in the evaluation. If you still disagree with the rater, mark "NON-CONCUR" and explain. You may include recommendations for augmentation or assignment.</p> <p>Reviewer: Carefully review the rater's and additional rater's ratings and comments. If their evaluations are accurate, unbiased and uninflated, mark the form "CONCUR" and sign the form. If you disagree with previous evaluators, you may ask them to review their evaluations. You may not direct them to change their appraisals. If you still disagree with the additional rater, mark "NONCONCUR" and explain in Section VIII. Do not use "NONCONCUR" simply to provide comments on the report.</p> | | |
| IX. ACQUISITION EXAMINER/AIR FORCE ADVISOR | | |
| (Indicate applicable review by marking the appropriate box(es).) | | (If applicable) |
| NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION | SIGNATURE | DATE |
| | | |

Chapter 4

PROMOTION RECOMMENDATION PROCESS

4.1. Purpose. Specific portions of this chapter apply to the USAFR as indicated. One of the goals of the OES is to identify and recommend for advancement the best qualified officers based on performance and performance-based potential. One part of the promotion process is the AF Form 709. It's a separate form used by the senior rater to make a promotion recommendation to the central selection board. The promotion recommendation process and its role in the OES is the subject of this chapter. We'll discuss the following areas of this process:

- Performance-based potential.
- Assessment of potential.
- Procedures of the promotion recommendation.
- Preparation of the PRF.
- The allocation process.
- The management level review.
- The central selection board process.
- Here's how it works.

4.1.1. Performance-Based Potential. Performance-based potential is the assessed capability of an officer to serve in the next higher grade as demonstrated by performance in the current position and in past jobs or positions. The senior rater makes this assessment and considers level of duty performance as well as demonstrated expertise in skills important to all Air Force officers (e.g., leadership, team building, decision making, communication, organizational skills, etc.) and the willingness to go beyond what is specifically required of the job. For company grade officers, performance-based potential is demonstrated primarily through duty performance, i.e., technical skills and ability in the primary job specialty. For more senior officers, the senior rater should also consider past job performance as it relates to increased rank. Included for consideration might be demonstrated performance as a commander or supervisor as well as level of responsibility. The key question is: "Has the officer demonstrated the skills and abilities to warrant promotion to the next higher grade?"

4.1.2. Who Assesses Potential? Your senior rater knows you. The senior rater, the person who prepares the promotion recommendation, is in the best position in the organization to understand an officer's long-term record of performance. He or she has personal knowledge, or access to personal knowledge, of both your most recent performance and cumulative performance. For first lieutenant through major, unless the officer works directly for a general officer, the senior rater is a colonel or equivalent in a wing commander or equivalent position. The senior rater for active duty lieutenant colonels is the first general officer or equivalent in the rating chain. The senior rater for ResAF lieutenant colonels and below is the same as the active duty senior rater for majors and below. The senior rater is also the reviewer on the OPR. The same person who reviews and concurs/nonconcurs with each officer's performance report (and is aware of performance strengths and weaknesses) makes the promotion recommendation.

4.1.2.1. High-level Endorsements Are Eliminated. This safeguard eliminates the concern over the grade or status of the person making the recommendation. All officers in a given organization have the same senior rater. Of course, by virtue of organizational structure, some lieutenants through majors will have general officers as senior raters. The point is, one officer's PRF cannot be elevated for such "endorsement." The same is true, incidentally, of the OPR. The selection board disregards the grade of the senior rater.

4.1.3. What Are The Procedures? (See AFI 36-2402, paragraph 4.15, for officers eligible for selection to captain when promotion opportunity is 100 percent.) Prepare the form no earlier than 60 days and no later than 30 days before the central promotion selection board; the senior rater signs the PRF for each officer eligible In-the-Promotion Zone (IPZ) and Above-the-Promotion Zone (APZ), and for all promotion eligible Below-the-Promotion Zone (BPZ) officers. Officers not eligible for promotion do not get PRFs. For ResAF, prepare the form to arrive at HQ ARPC NLT 60 days before the convening date of a board. All officers considered for the grades of lieutenant colonel and colonel, IPZ/APZ, require a PRF. All officers nominated for Position Vacancy consideration also require a PRF. A block-by-block study of the form is provided later in this chapter. **NOTE:** No officer will be asked to draft or prepare his or her own PRF.

4.1.3.1. Disposition of the Form. Not later than 30 days prior to the board, the PRF is sent to HQ AFPC/DPPBR3 to be entered into the officer's selection record, and a copy is provided to the officer. Provide the ANG/USAFR officer a copy of their form 30 days before the convening date of the board. Except for colonels, the PRF is intended to be a one-time communication between the senior rater and the central selection board and doesn't become a permanent part of the officer's selection folder. All PRFs are removed from the selection folder when the central selection board completes its deliberations. One reason for this removal is to avoid any stigma from having been selected for promotion with a

“Promote” recommendation rather than a “Definitely Promote” recommendation. The removal also draws less attention to officers APZ. For colonels, the PRF remains a permanent part of the officer’s record until the officer retires or is promoted. The Brigadier General Promotion Board reviews all PRFs rendered on an officer as a colonel.

4.1.4. What’s Important In Preparing The Promotion Recommendation Form? Evaluators must review unfavorable information files (UIF) and any adverse information in the personnel information files (PIF) prior to completing a PRF. Evaluators must also consider making comments on the PRF if an officer receives adverse actions such as Article 15, Letter of Reprimand, Admonishment, or Counseling. Comments are mandatory when an officer is convicted by courts-martial, and when an officer receives a "Do Not Promote This Board" recommendation. Figure 4.4 represents a completed form. The following is a step-by-step look at the PRF:

- Sections I, II, and III. These sections are essentially the same as the respective sections of the OPR. Sections II and III are repeated for the officer who may have changed jobs since receiving the previous performance report. For more information, refer to the discussion of these sections in chapter 3.
- Section IV. Promotion Recommendation. This section explains to the promotion board what makes the officer one of the best qualified for promotion or otherwise supports the recommendation given in Section IX. Information that is available elsewhere in the promotion folder generally shouldn’t be included on the PRF. Comments concerning ratings or recommendations on prior PRFs are not allowed. Do not underline, capitalize, use bold print, punctuation, or headings (headings are allowed on Letters of Evaluation [LOE] only), to merely emphasize the comments, except as required to identify proper names, titles of publications, and so on. Senior raters may recommend PME attendance and Regular augmentation in this section. However, remember the PRF isn’t a permanent part of the officer’s selection folder and will be removed. Thus, the OPR may be a better place for these comments.
 - The focus of the promotion recommendation is performance, both past and present, and the potential based on that performance. In preparation, the senior rater reviews the Duty Qualification History Brief (DQHB), OERs, OPRs, LOEs, TRs in an officer’s Record of Performance (ROP), and the level and significance of the officer’s most recent performance. If the senior rater isn’t familiar with the significance of the jobs an officer has had, he or she talks with those who have that knowledge. **NOTE:** The senior rater is responsible for evaluating each officer’s ROP, awarding a promotion recommendation, and competing the officer at the MLR. Local boards or panels of officers to score records and/or generate priority lists are strictly prohibited (see AFI 36-2402, paragraph 4.4.1.2).
 - Bullets are mandatory in Block IV and should capture accomplishments throughout the officer’s career that bear on promotion. For junior officers, the comments should concentrate on job performance and depth of experience. For more senior officers, the comments should blend performance in the primary duty area with broader career accomplishments. It should not read merely as a summary of the past year’s performance. In writing the promotion recommendation, remember that you communicate directly with members of the central selection board and explain what the officer did: how the officer performed both in the primary career area and in broadened circumstances; what makes the officer unique; and most importantly, why the officer should be promoted.
- Section V. Promotion Category. This entry indicates whether the PRF was accomplished for a BPZ officer or an officer in the In- /Above-the-Promotion Zone (I/APZ) category.
- Section VI. Group Size. In most cases, this section is marked N/A. When the population of BPZ or IPZ officers in a given grade within the management level meets or exceeds the minimum required, it isn’t necessary to calculate and enter the group size. For a complete discussion and examples of when and how to calculate group size, refer to AFI 36-2402, chapter 4. For ResAF, place the "rank order" of the "Definitely Promotes" in this block. See AFI 36-2402 and the letter of instruction for each selection board.
- Section VII. Board. This entry identifies the central selection board for which the PRF is being prepared. The board identification information is included on the PRF notice the senior rater receives from the MPF.
- Section VIII. Senior Rater ID. The senior rater ID is a five-digit code used to identify the position of the senior rater. It also is provided on the PRF notice received by the senior rater.
- Section IX. Overall Recommendation. The senior rater can make one of three recommendations: “Definitely Promote,” “Promote,” and “Do Not Promote This Board.” (**NOTE:** The remainder of this section does not apply to ResAF officers.) Each senior rater is entitled to a specific number of “Definitely Promote” recommendations based on the population of BPZ or IPZ officers assigned (see Allocation Rates, figures 4.1 and 4.2). A “Definitely Promote” recommendation indicates the strength of the ratee’s performance and performance-based potential alone warrants promotion. A “Promote” recommendation says the ratee is qualified for promotion and should compete at the central selection board on the basis of performance, performance-based potential, and broader considerations such as duty history, PME, advanced degrees, etc. A “Promote” means the senior rater believes the officer should be promoted. There’s no limit on the number of “Promote” recommendations a senior rater is allowed. Because the number of “Definitely Promote” recommendations are limited, many officers are promoted with “Promote” recommendations. The number selected from this category varies by grade. “Definitely Promotes” (DPs) are allocated at a rate lower

than the total promotion rate in order to allow the senior raters to send a clear promote message to the central selection board. This also leaves officers with a "Promote" recommendation with a reasonable chance of promotion. In fact, policy guarantees a minimum rate of officers that have a "Promote" recommendation will be promoted (P-Rate) in order to foster acceptance of the officer evaluation system. Since the inception of OES, the actual promotion rate has always exceeded P-Rate. Promotion opportunity is fixed by law in the Defense Officer Personnel Management Act (DOPMA) and in Title 10. Since the total promotion opportunity and P-Rate are fixed, in order to assure the promotion opportunity and the required rate of officers being promoted with a "P" are met, the rate of "DPs" allocated is then varied. It is important to note, however, that not all of the officers awarded a "DP" are necessarily promoted. A "Do Not Promote This Board" recommendation says the ratee does not warrant promotion on the central selection board. As with other promotion recommendations, a "Do Not Promote This Board" doesn't become a permanent part of the officer's record but is removed after the board concludes. The senior rater of any officer awarded a "Do Not Promote This Board" recommendation forwards to the officer, prior to the central selection board, a copy of the recommendation and a letter reminding the officer of his or her right to submit a letter to the central selection board.

- I/APZ officers compete on the basis of allocation of quotas which are based on the total number of IPZ candidates in the wing or equivalent organization. This mirrors promotion board procedures where I/APZ officers compete for a specific number of promotions based on the number of IPZ officers eligible for promotion.
- BPZ officers compete for a separate pool of allocations. PRFs are prepared on all eligible BPZ officers, whether awarded "Definitely Promote," "Promote," or "Do Not Promote This Board" recommendations. Senior raters cannot move allocations between BPZ and I/APZ categories.
- Section X. Senior Rater. The senior rater's name, grade, organization, duty title, SSN, date, and signature are entered here. **NOTE:** When the designated senior rater is not an Air Force officer or Department of the Air Force (DAF) official, an Air Force Advisor is designated to advise senior raters on matters pertaining to Air Force PRFs.

4.1.5. What Is The Allocation Process? (This allocation process does not apply to ResAF.) Recommendation limits are managed so as to equitably distribute the "Definitely Promote" allocations and to provide a means to ensure that the allocations are not exceeded.

4.1.5.1. A Means Of Allocating "Definitely Promote" Allocations. "DP" allocation rates are used to determine the number of "Definitely Promote" recommendations. The rates are based on the promotion opportunity for each grade. These rates, for line officers only, are shown in figure 4.1. Non-line allocation rates are shown in figure 4.2. "DP" allocations vary by grade to accommodate the various promotion opportunities and by zone to account for the specific requirements associated with each zone. As an example, the "DP" allocation rate for captain to major is 55 percent. This means that a number of captains (IPZ and APZ) equal to 55 percent of the IPZ eligibles may receive a "Definitely Promote" recommendation. The "DP" allocation rates dictate the actual number of "Definitely Promote" recommendations allowed based on the population of eligible officers in each grade and zone.

4.1.5.2. A Means Of Handling Fractions Of A "DP" Allocation. Generally, a fraction of a "DP" allocation results when the senior rater applies the percentage (allocation rate) to a typical group of eligible BPZ and IPZ officers. All fractions are rounded down to the lower whole number. Since the senior rater can only round down, the remaining fractions, when aggregated, may produce several unused "Definitely Promote" recommendations at the management level (MAJCOM or equivalent). These "DP" allocations may be redistributed by the management level to help accommodate inequities in the distribution of quality among units. However, the total number of "DP" allocations available to the management level may not be exceeded under any circumstances.

4.1.5.3. A Means Of Identifying Best Qualified Officers In Small Units. Some units are too small to merit a "DP" allocation based on the eligible officer population. These small units are treated in aggregation as one large unit with the Management Level Review awarding the recommendations.

Figure 4.1. Line Officer "DP" Allocation Rates.

| Promotion To | IPZ Allocation | BPZ Allocation | P-Rate for CY96 Boards |
|--------------|----------------|----------------|------------------------|
| Capt | n/a | n/a | n/a (note 2) |
| Major | 55% | 10% | 40% |
| Lt Col | 40% | 10% | 35% |
| Colonel | 20% | 15% | 25% |

NOTES:

1. Numbers based on current promotion opportunity and are subject to change.
2. Promotion opportunity is currently 100%. If promotion opportunity is less than 100%, select rates for IPZ "Promote" recommendations will be adjusted accordingly.

4.1.6. Rack 'n Stack. (Applies only to ResAF.) Senior raters who award "Definitely Promote" recommendations to ResAF officers in I/APZ, will rank order their "DP" recommendations. For example: 2/5/10. This senior rater has 10 officers in that competitive category meeting the selection board. This particular officer is ranked number 2 out of 5 officers awarded a "DP." The entry is hand written in Section VI Group Size on the PRF. For any other recommendation, leave this area blank.

4.1.7. What Is The Management Level Review (MLR)? This applies to active duty lieutenant colonels and below. It does not apply to ResAF.

4.1.7.1. A Quality Review. MLRs are established to ensure officers receive full consideration in the promotion recommendation process. As one of its functions, the MLR performs a quality review of the I/APZ PRF to ensure that each form is properly prepared and conveys the message intended by the senior rater. The MLR cannot downgrade a recommendation. MLRs also expose new senior raters to the spectrum of quality within the command and help them refine the criteria they use to assess their people.

- MLR Function. MLRs are established to ensure officers receive full consideration in the PRF process. One of their functions is to perform a quality review of the I/APZ ROPs, DQHBs, and PRFs. This review identifies and discusses with the appropriate senior raters those PRFs that appear to contain exaggerated or unrealistic comments or comments that do not appear to support the overall recommendation.

4.1.7.2. A Senior Rater For Small Units. The MLR serves as a collective senior rater for officers of units too small to earn an allocation. Those officers have the same opportunity to receive "Definitely Promote" recommendations as officers in the larger units. Although their recommendations come from the MLR, their senior rater represents them on that MLR and prepares their PRF.

4.1.7.3. A Safeguard. The MLR also helps offset potential inequities associated with the less-than-perfect distribution among the units of superior performers. Senior raters who have more officers whose performance warrants a "Definitely Promote" recommendation than his or her allocation covers may bring those officers' records forward to the MLR to compete for a limited number of additional "Definitely Promote" recommendations that accrue there in carry-over (reference the previous section). The MLR reviews and scores the records of all officers competing for the additional recommendations and selects the best performers based on records and on the personal knowledge of the officer provided by the senior rater. In this way, uneven distribution of quality is recognized, not by the prestige of a given unit, but by the specific performance of the individual officers, whether IPZ or APZ.

4.1.7.4. MLR Procedures. MLR procedures differ slightly for officers assigned outside the Department of the Air Force, those who are permanent party students, and those in competitive categories other than line of the Air Force (chaplains, nurses, etc.). If you're in this category, refer to AFI 36-2402 for specific procedures unique to your particular category.

4.1.8. What Happens At The Central Selection Board? The central selection board selects from the eligible population those officers best qualified for advancement in grade and responsibility. The total number selected is limited by statutory ceilings on the number of officers who can serve in each of the field grades. For the ResAF, this is limited by the needs of the service for officers in particular grades and competitive categories. With a high-quality officer corps and statutory ceilings on promotion, the competition for promotion is keen and the task of the board is difficult. The purpose of the officer evaluation system is not to reduce the intensity of this competition, but to assist the selection board in identifying those who are best qualified from the large population of qualified officers. The information passed to the board via the OPRs and PRF, along with the remainder of the selection folder, conveys a clear and concise message to the board concerning each officer's promotability.

4.1.8.1. Selection From The "Definitely Promote" I/APZ Recommendations. (Does not apply to ResAF.) Because they are limited in number, "Definitely Promote" recommendations are a strong signal to the board; consequently, a large percentage of I/APZ officers who receive "Definitely Promote" recommendations are normally promoted.

4.1.8.2. Selection From The I/APZ "Promote" Recommendations. (Does not apply to ResAF.) Allocations of "Definitely Promote" recommendations are set so that a reasonable number of officers who receive a "Promote" recommendation may also be selected for promotion by the central selection board. Though the "Definitely Promote" recommendation is a strong signal, central selection board members have a sworn duty to independently review the records of all eligible officers to select those who are the best qualified. Among the factors to be weighed in the process are duty performance, performance-based potential, and broader considerations such as duty history, PME, and advanced degrees.

4.1.8.3. Selection From The BPZ Recommendations. (Does not apply to ResAF.) Because more BPZ officers meet the central selection board with a “Definitely Promote” recommendation than can be selected for promotion, any BPZ recommendation is considered only as a nomination for promotion BPZ. Remember, only a certain percent of those nominated are selected by the selection board. The board considers job performance, performance-based potential, and broader considerations when selecting BPZ officers for promotion.

4.1.8.4. Consideration Of The “Do Not Promote This Board” Recommendation. (Does not apply to ResAF.) The “Do Not Promote This Board” recommendation sends a clear signal to the central selection board. However, the final decision to promote, or not promote, rests with the board, and all recommendations receive careful consideration.

4.1.9. What Are The "DP" Allocations For The Non-Line Categories? (Does not apply to ResAF.) Officers other than line of the Air Force (LAF), (Chaplain [HC], Judge Advocate [JA], Medical Corps [MC], Dental Corps [DC], Nurse Corps [NC], Biomedical Sciences Corps [BSC], Medical Service Corps [MSC]) are referred to as non-line officers. They are in a special situation because they compete for promotion by competitive category and their promotion opportunity varies by category. Also, the total number of officers in each of the competitive categories other than LAF is relatively small. Consequently, "DP" allocation rates applied to non-line I/APZ officers are different from those applied to LAF officers. BPZ allocation rates are the same for both LAF and non-line officers. Figure 4.2 provides I/APZ "DP" allocation rates for each non-line competitive category; numbers are based on current promotion opportunity and are subject to change.

Figure 4.2. Non-Line I/APZ Officer “DP” Allocation Rates. (Does not apply to ResAF.)

Promotion To

| | MC | DC | NC | MSC | BSC | JA | HC |
|---------|------------------|------------------|-----|-----|-----|------------------|------------------|
| Capt | N/A ¹ | N/A ¹ | N/A | N/A | N/A | N/A ³ | N/A ² |
| Major | N/A ² | N/A ² | 55 | 60 | 50 | 70 | 40 |
| Lt Col | 50 | 40 | 5 | 50 | 20 | 50 | 15 |
| Colonel | 45 | 25 | 10 | 25 | 15 | 25 | 15 |

NOTES:

1. Officers enter active duty as captains.
2. When the promotion opportunity is 100%, officers compete for promotion in a fully qualified basis. PRFs are not required unless an officer receives a "Do Not Promote This Board" recommendation.
3. PRFs are not prepared for Judge Advocate promotion to captain.

4.1.10. How Does It Work? In the following example (figure 4.3), a unit with a population of 120 captains assigned is graphically taken through the promotion process. The example demonstrates the procedure and proportions of recommendations by type and zone within a given unit. In the example, refer to the allocation rates in figure 4.1 as you follow the process through the stages.

Figure 4.3. Promotion Procedure. (Does not apply to ResAF.)

THE UNIT
120 CAPTAINS

The total group population is divided into four categories for consideration. For illustrative purposes, follow these numbers per category:

| | |
|-------------------|-------------------|
| Not Eligible = 75 | Eligible IPZ = 10 |
| Eligible BPZ = 31 | Eligible APZ = 4 |

Promotion recommendation depends on promotion eligibility. PRFs are not accomplished for the 75 captains not eligible.

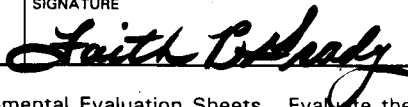
Three of the BPZ eligibles can receive a “Definitely Promote” recommendation, ($31 \text{ eligibles} \times .10 = 3.1$). Refer to figure 4.1, promotion to major line and BPZ column to find the 10% allocation. Remember, senior raters always round down. These three captains will receive a PRF with the “BPZ” and “Definitely Promote” boxes marked. PRFs on the remaining 28 captains are also completed, with the “BPZ” and “Promote” or “Do Not Promote This Board” boxes marked. All 31 BPZ eligibles will compete for promotion at the central board. This leaves the 10 IPZs and 4 APZs to be considered.

Five “Definitely Promote” recommendations are available for the I/APZ captains. ($10 \text{ IPZ eligibles} \times .55 = 5.5$) Refer to figure 4.1, major line, and IPZ column to locate the 55% allocation. Remember, senior raters always round down. APZ officers compete for recommendations with IPZ officers just as they do for promotions. This leaves nine I/APZ captains for which “Definitely Promote” recommendations are not available.

These nine remaining officers can receive “Promote” or “Do Not Promote This Board” recommendations. They may also compete for additional “Definitely Promote” recommendations at the MLR level if the senior rater feels their performance warrants that consideration.

In this example, 45 recommendation forms are prepared: 3 BPZ “Definitely Promote;” 28 BPZ “Promote” or “Do Not Promote This Board;” 5 I/APZ “Definitely Promote;” and 9 I/APZ “Promote” or “Do Not Promote This Board” recommendations. The fractions of allocations left are passed up to the management level to be combined with fractions from other senior raters and ultimately given to deserving officers within the command or management level.

Figure 4.4. Sample AF Form 709, Promotion Recommendation.

| PROMOTION RECOMMENDATION | | | |
|--|-----------------------|--|------------------------------|
| I. RATEE IDENTIFICATION DATA (Read AF 36-2402 carefully before filling in any item) | | | |
| 1. NAME (Last, First, Middle Initial) LAWRENCE, NORMAN T. | 2. SSN 045-04-5045 | 3. GRADE Lt Col | 4. DAFSC 36P4 |
| 5. ORGANIZATION, COMMAND, LOCATION Air Mobility Command, AMC, Scott AFB IL | | | 6. PAS CODE SF1LFPBB |
| II. UNIT MISSION DESCRIPTION | | | |
| Develops guidance and procedures for personnel readiness and accountability in direct support of Air Force programs. Operates the Personnel Readiness Center (PRC), providing for total force mobilization. Handles contingency manning programs for AMC, in support of over 5,000 requirements. Command focal point of members reported missing, captured, or imprisoned. Responsible for all casualty services. | | | |
| III. JOB DESCRIPTION | | | |
| 1. DUTY TITLE: Chief, Casualty Operations Division | | | |
| 2. KEY DUTIES, TASKS, RESPONSIBILITIES: Directs 12 personnel in managing all casualty matters within the directorate. Responsible for providing casualty assistance and notification actions for active duty and retiree deaths. Formulates and implements casualty policies and procedures for Air Mobility Command. Responsible for the certification of survivor benefits which total \$50,000 annually. Also oversees replies to high-level inquiries and information flow to 2,000 next-of-kin of unaccounted-for servicemen from the Southeast Asian (SEA) and Korean conflicts. SIGNIFICANT ADDITIONAL DUTY: Represents the AMC commander as Staff Duty Officer. | | | |
| IV. PROMOTION RECOMMENDATION | | | |
| - An outstanding officer who has succeeded in combat and peacetime by facing the tough issues head on -- Awarded Distinguished Flying Cross in SEA for efficiency as forward air controller under enemy fire -- Moved ahead of his contemporaries as an instructor, flight commander due to his "natural leadership" -- Handpicked as exec to 17th AF Commander to clean up serious problems in "the front office"--he did -- Superbly led relocation planning for his wing from RAF Upper Heyford to RAF Mildenhall with skill - At AMC, he's again been a leader on successive teams that have led us into quality management and re-engineered our entire headquarters to maintain effectiveness in spite of large cuts in manning levels -- Launched the Quality Air Force Program; taught classes world-wide at the request of other MAJCOMS - Norman is talented, determined, and effective in any role or arena. He must be promoted at this time. | | | |
| V. PROMOTION ZONE | VI. GROUP SIZE | VII. BOARD | VIII. SENIOR RATER ID |
| BPZ <input type="checkbox"/> I/APZ <input checked="" type="checkbox"/> | | 0695B | 1LAM1 |
| IX. OVERALL RECOMMENDATION | | X. SENIOR RATER | |
| DEFINITELY PROMOTE <input checked="" type="checkbox"/> PROMOTE <input type="checkbox"/> DO NOT PROMOTE THIS BOARD <input type="checkbox"/> | | NAME, GRADE, BR OF SVC, ORGN, COMD & LOCATION FAITH B. GRADY, General, USAF Air Mobility Command (AMC) Scott Air Force Base, Illinois DUTY TITLE Commander SSN 064-64-0064 SIGNATURE  | |
| Instructions | | | |
| Review previous OERs, OPRs, Education/Training Reports, and Supplemental Evaluation Sheets. Evaluate the officer's performance and assess his or her potential. Write Promotion Recommendation (Section IV) in concise "bullet" format. | | | |
| Provide an accurate, unbiased assessment free from consideration of race, sex, ethnic origin, age, religion, or marital status. | | | |
| Provide the officer a copy of this report approximately 30 days prior to the board for which this report is prepared. | | | |

Chapter 5

HELPFUL HINTS

5.1. Purpose. Sometime in your Air Force career, you'll have the opportunity to write PRFs on fellow officers. In order to assist you, we have developed some helpful hints. Although the following list of "Do's" and "Don'ts" is designed for reviewers and senior raters, it can help us all understand OES as we grow in using this performance-based system.

5.1.1. Do's:

- Establish yourself as a positive center of influence for the OES. What you say and do in relation to the OES will set the tone in your organization. Your subordinate raters should know up front that you will not sign off on inflated ratings. All your officers need to understand that what counts is day-to-day performance.
- Ensure your officers understand the OES. Many officers still have misconceptions or doubts about the system. Be alert for rumors and bad information and set the record straight. Suggest review of this pamphlet, the OES Training Guide, AFI 36-2402, and AFPAM 36-2506, *You and Your Promotion - The Air Force Officer Promotion System*.
- Emphasize the value of performance feedback--not only in the context of compliance with the OES, but also as a primary means of enhancing the professional development of your officers.
- Ensure the raters in your organization provide quality performance feedback. Feedback is the single most important and effective means of changing behavior. It should focus on observable, job-specific performance. Helping officers improve their individual behavior through constructive feedback sessions should, in turn, strengthen unit performance.
- Make a point of getting to know those officers for whom you will be the reviewer and senior rater. This will not only help you when rating time comes, but will give your officers confidence that their senior rater is in a position to assess their performance adequately.
- Remind raters that, unlike PRFs, OPRs become a permanent part of the record--and should be written with that in mind. There's plenty of space on the form to describe both the duty (Section III) and performance (Section IV) in layman's terms. Board members, personnel managers, commanders, and supervisors read OPRs to understand performance in previous assignments, and to make recommendations for future assignments, school attendance, Regular appointment, separation, retirement, or other management actions.
- Scrutinize the unit mission descriptions on the OPRs you review to ensure they are accurate and portray the complete scope of the mission. Put yourself in the position of a selection board member. If you knew nothing about the unit, would the description provided make it clear? Is it written at a level where the ratee can have an impact? If not, perhaps the unit has been identified at too high a level. (For example, it would be difficult to show the mission impact of an officer on the J-1 staff if the unit mission statement described the unified command rather than the J-1 staff.)
- Review the verbiage on OPRs with an eye toward not painting yourself into a corner when it comes time to complete the PRF. Do not sign up to something on an OPR that you cannot support on a PRF.
- When preparing PRFs, choose the words that best describe the performance and potential to serve in the next higher grade of the officer to the promotion board. You play a greater role in the promotion process than you have in the past. Use this opportunity wisely.
- When the time comes, make the tough calls. If an officer shouldn't assume the next higher grade, make that "Do Not Promote This Board" recommendation.
- Whenever possible, senior raters should personally give each officer a copy of the PRF and explain why you gave the recommendation you did.

5.1.2. Don'ts:

- Do not allow the system to be gamed. The Air Force and individual officers will be hurt in the long run.
- Do not use technical terms, acronyms, or jargon that people outside your career area will not understand.
- Do not wait until MLR time to prepare your PRFs. You will know who your eligibles are about 90 days before the MLR meets. While you will not know exactly how many "Definitely Promote" recommendations you can give until the final PRF allocation date (66 days before the central selection board convenes), you can complete the narrative portions of the PRFs as soon as you know who your eligibles are and can begin considering what recommendations you'll be giving.
- Do not determine what PRF recommendations to make using a mini-MLR. While senior raters are encouraged to gather authorized input from subordinate evaluators, the senior rater alone must decide who gets which recommendations. Senior raters are allowed to rank order their own eligibles to send a message to the Central Selection Board. For example, my #1 of 10 majors.
- Do not be concerned about the grade level of senior raters. This is a function of organizational structure and is not indicative of the quality of the officer being rated. Central selection boards will be so informed.

- Do not use a “Definitely Promote” recommendation for anything other than its intended purpose--to identify the best performers. For example, do not use a “Definitely Promote” recommendation to save an APZ officer at the expense of a more qualified IPZ officer who you may think has a good chance of winning a “Definitely Promote” carry-over recommendation. On the other hand, if the APZ officer is the best performer, the officer should not be denied the rating simply because he or she is APZ.

MICHAEL D. McGINTY, Lt General, USAF
DCS/Personnel

GLOSSARY OF TERMS

Additional Rater--Normally the rater's rater and the second evaluator on the Officer Performance Report (chapter 3).

Aggregation--The process of accumulating candidates when the number of eligible officers does not meet the minimum number required for the senior rater to award promotion recommendations (chapter 4). **NOTE:** This does not apply to ResAF.

APZ--Above-the-promotion zone.

BPZ--Below-the-promotion zone.

Carry-Over--For line officers, the residual allocations that accrue to the management level from the process of multiplying the number of IPZ or BPZ eligibles for each senior rater, by the percent allowable "Definitely Promote" recommendations and rounding down (e.g., eight IPZ eligibles for major times 0.55 equals 4.4; the .4 is the carry-over) (chapter 4). **NOTE:** This does not apply to ResAF.

Company Grade--Officers in the grades of second lieutenant through captain.

Definitely Promote--Recommendation on the AF Form 709 that indicates the strength of the ratee's performance and performance-based potential alone warrant promotion (Lt Col and below). A recommendation on the AF Form 709 which indicates an officer demonstrates the potential for immediate promotion (Colonels only).

Do Not Promote This Board--Recommendation on the AF Form 709 that indicates ratee does not warrant promotion on the central selection board for which the PRF is being prepared.

DQHB--Duty Qualification History Brief. A computer product used by senior raters in the promotion recommendation process which includes such whole-person factors as PME, advanced academic information, joint duty/acquisition corps data, and awards and decorations information.

Evaluation Report--A general reference to the Performance Feedback Worksheet, Officer Performance Report, and Promotion Recommendation Form.

Evaluator--A general reference to any individual who signs an evaluation report in a rating capacity. An evaluator must be an Air Force officer, an officer of another US or foreign service, or civilian equivalent.

Field Grade--Officers in the grade of major through colonel.

Inappropriate Items--Items that cannot be considered or referred to in the evaluation process.

IPZ--In-the-promotion zone.

Management Level--Normally an organization such as a major command, where the senior official reports directly to the Secretary of Defense, Secretary of the Air Force, Chairman Joint Chiefs of Staff, or Chief of Staff Air Force. The management level also ensures evaluation reports and procedures comply with AFI 36-2402.

Mandatory Comments--Comments evaluators must include in Officer Performance Reports and Education and Training Reports.

MLR--Management Level Review. The review performed by the management level to ensure evaluations and procedures comply with AFI 36-2402 (see paragraph 4.7).

Non-line--For discussion purposes in this guide, non-line is used as a collective general reference to judge advocates (AFSC 51JX), chaplains (AFSC 52RX), and health professions officers (AFSC 4XXX).

OES--Officer Evaluation System. Includes all procedures, policies, and documents used to evaluate officer performance, performance-based potential, and feedback.

OPR--Depending on its use, means either Officer Performance Report or office of primary responsibility. In this guide, it means Officer Performance Report (chapter 3).

PAS or PAS Code--A personnel accounting symbol for a specific organization.

PFW--Performance Feedback Worksheet (chapter 2).

Performance-Based Potential--The assessed capability of an officer to serve in a higher grade as demonstrated by performance in his or her current position and in past jobs or positions.

PRF--Promotion Recommendation Form (chapter 4).

Promotion Opportunity--"P-Rate." A function in an equation to determine the maximum number of officers that each board may select to be promoted.

Ratee--The officer being rated.

Rater--The person designated to conduct feedback sessions and the first evaluator on the OPR. Should be the same person as the supervisor.

Rating Chain--Generally, the rating chain follows the chain of command. The rater is normally the ratee's supervisor and the additional rater is normally the rater's rater. The reviewer is as specified in chapter 3.

Rating Period--The length of time covered by an evaluation report. This is distinct from reporting period in that a rating period may cover time under a variety of raters.

Referral Report--An OPR that contains comments or ratings that require the ratee have the opportunity to comment before the OPR becomes a matter of record (AFI 36-2402).

Reporting Period--The period the officer is under the rater. This is distinct from rating period--a rating period may cover time the ratee spent under a different rater.

Reviewer--The same person as the senior rater, but this is the term used for the person who is generally the third person on an OPR. The reviewer's function is primarily quality review of OPRs. The reviewer also becomes more familiar with the performance of officers under his or her control through this review process to better perform their role of senior rater (chapter 3).

Senior Rater--The same person as the reviewer, but this is the term used for promotion recommendation process since their role is to evaluate the ratee's career performance-based potential rather than quality review of a form (chapter 4).

Significant Disagreement--A disagreement by an evaluator with the previous evaluator that results in one of the following:

- A change of any performance factor rating in section V.
- Any statement anywhere in an OPR that indicates obvious disagreement with a previous evaluator.

Supervisor--Should be the same person as the rater, but may be different in some limited cases. For instance, the supervisor may be junior in grade to the ratee. Perhaps the functions normally performed on a day-to-day basis by the rater are performed by someone else because of physical separation between the rater and ratee and it is inappropriate to designate the supervisor as the rater. The situation where a ratee has a rater who is not his or her supervisor should be avoided.

Unit Mission Description--The unit mission description is normally for the organization entered in section 1, item 8, of the OPR. For example, the 22 Flying Training Wing or 36 Aircraft Generation Squadron. However, the unit mission description may be for an activity within the organization (e.g., the Morale Welfare Recreation division within the combat support group or the Directorate of Manpower and Organization at a MAJCOM headquarters) or a higher level organization (e.g., the parent unit for an officer in an operating location) if it more accurately portrays the activity in which the officer performs duty.